

THE GEORGE WASHINGTON UNIVERSITY
Washington, D.C.

MINUTES OF THE REGULAR MEETING
OF THE FACULTY SENATE HELD ON
MARCH 12, 2004 IN THE MARVIN CENTER, ROOM 310

Present: Vice President Lehman, Registrar Geyer, and Parliamentarian Pagel; Deans Futrell, Phillips, Tong, and Whitaker; Professors Briscoe, Castleberry, Cordes, Englander, Gallo, Garris, Griffith, Gupta, Marotta, Packer, Paup, Robinson, Shambaugh, Swiercz, Wilmarth, and Wirtz

Absent: President Trachtenberg, Deans Frawley, Harding, Katz, Scott, and Young; Professors Friedenthal, Harrington, Klarén, Lee, Paratore, Sell, Simon, Watson, and Zaghloul

The meeting was called to order by Executive Vice President for Academic Affairs Donald Lehman at 2:20 p.m.

IN MEMORIAM

Professor Randall Packer read "A Tribute to the Memory of David Lynn Atkins," Professor Emeritus of Biology, who passed away January 30, 2004. (The tribute, prepared by Professor Packer, is attached and made a part of these minutes).

Professor Lilien F. Robinson read "A Tribute in Memory of Stefan Otto Schiff," Professor Emeritus of Zoology and of Genetics, who passed away February 6, 2004. (The tribute, prepared by Professor Robinson, is attached and made a part of these minutes).

APPROVAL OF THE MINUTES

The minutes of the meeting held on February 13, 2004 were approved as distributed.

RESOLUTIONS

I. RESOLUTION (03/8), "A RESOLUTION TO AMEND THE POLICY ON SCIENTIFIC MISCONDUCT"

On behalf of the Senate Committee on Research, Professor William Briscoe, Chair, introduced Resolution 03/8. Following the Committee's review of the proposed Policy and Procedures regarding allegations of scientific misconduct, he said it had come to his attention that Professor Simon (SMHS), who could not be present at today's meeting, had raised several issues of concern about the Policy. Professor Briscoe then requested that consideration of this item of business be deferred, and said that it might best be referred for consideration to the Committee on Professional Ethics and Academic Freedom (PEAF), which might wish to examine Professor Simon's concerns. In addition, Professor Simon had pointed out that in the

Policy (but not in the flow chart appended to the Policy), the Assistant Vice President for Research Compliance and Technology Transfer (AVPRCTT), who is not a faculty member, seems to have the power to act independently in many of the important steps from the initial inquiry to the inquiry report. Professor Briscoe said he did not think his Committee would object if references to the Assistant Vice President were stricken from the document from pages 5 – 18 of the Policy, and on the note at the bottom of page 1 of the appended flow chart.

Asked for comment on the role of the Assistant Vice President in the proposed Policy, Associate Vice President Sigelman said that the current Assistant Vice President and she had been in touch with Professor Simon about some of his concerns, and she read e-mail from the Assistant Vice President which confirmed that the latter's primary role in the Scientific Misconduct process is to assist the Associate Vice President. According to this e-mail, in the event a matter arises, the Associate Vice President and/or ultimately the Provost is involved in the decision-making related to these matters regardless of whether the person holding the Assistant Vice President's position is involved. The Assistant Vice President's position was structured to be linked to compliance matters, and not finance matters or any other such functions.

Clearly, Vice President Sigelman added, the Associate Vice President for Health Research (AVPHR) would be the responsible party for the procedures, and so long as the definition of the Assistant Vice President's role in assisting the AVPHR on a discretionary basis is retained, she said she saw no problem with striking out subsequent references to the Assistant Vice President in the document.

Professor Wilmarth reported that he had received a call that morning from Professor Simon, who was called out of town unexpectedly. In that conversation, Professor Simon expressed concern that the Policy seemed to allow the Assistant Vice President to act independently in many important steps in these cases, from the initial inquiry until the inquiry report. Professor Simon had also indicated that he had other due process concerns about the draft Policy, including the right to be fully advised of the nature of the charges in the early stages of the process, the right to be heard, and the treatment of the subject of the inquiry. Professor Wilmarth then said that Professor Simon had asked him to request that this matter be deferred until the Senate's April meeting, which request he was now conveying to the Senate.

Professor Gallo prefaced her remarks by saying that she actually found the policy appropriate. However, she added that misconduct in research is an extremely serious charge, as serious, if not more so, than a charge of sexual harassment, and such a charge can certainly end one's career. She then observed that the investigative process under the Policy rests solely in the hands of the administration and that, perhaps, no faculty will be involved. The complainant might not be known, but yet an inquiry might follow. Professor Gallo then said that the question was how involved the Senate would be in insisting upon due process in a Policy which would apply potentially to faculty as respondents.

Professor Griffith asked if the position of Associate Vice President referenced in the Policy currently exists, or is to be created. Vice President Sigelman said that Fred Rickles, Associate Vice President for Health Research and Technology Transfer (AVPHRTT), had departed, and that the title of his position had been changed to Associate Vice President for

Health Research (AVPHR) in the search for his replacement. Professor Griffith then asked if this Associate Vice President would report to the Vice President Health Affairs (VPHA) or to the Executive Vice President for Academic Affairs, (EVPAA) and Vice President Lehman confirmed that the position would report to the VPHA.

Professor Griffith then asked Professor Briscoe if he would support a motion to refer the matter to the PEAFC Committee for their review and possible reporting at the April Senate meeting. Professor Briscoe said he would have no objection. The motion was seconded.

Vice President Sigelman said, as the Resolution makes clear, the University was asked to provide a Policy within 30 days. Professor Griffith observed that the University had not met that deadline as yet, and Vice President Sigelman said that a draft had been furnished in November 2003 to the Office of Research Integrity (ORI) [in the Department of Health and Human Services] as a sort of progress report. The ORI had responded favorably to the draft, making only a couple of suggestions. She added that she thought that ORI would be operating under the assumption that the University was already following the new policy, even though she told them the Policy was still under review.

Discussion followed between Professor Griffith and Vice Presidents Sigelman and Lehman on whether or not the draft Policy should be adopted as an interim policy, or as a guide, until the review process is complete.

Professor Gupta said he was puzzled about the proposed Policy and asked if it only covered the Medical Center. If the Policy is University-wide, he said he did not understand why the Vice President for Health Affairs, rather than the Executive Vice President for Academic Affairs, would be in charge of inquiries about misconduct, for example, in the Biology Department.

Vice President Lehman then outlined the administrative reorganization of the research enterprise approximately two years ago. At that time, the research enterprise became centralized in the Office of Research Services directed by Helen Spencer, whether the research was conducted in the Medical Center, or elsewhere in the University. This Office reports to Academic Affairs. At that time, research compliance, a very large fraction of which has to do with "health compliance," became the responsibility of the Vice President for Health Affairs, and administration of the Scientific Misconduct Policy was moved to that Office with the Associate Vice President for Health Research and Technology Transfer (AVPHRTT) assuming the role formerly discharged by the Associate Vice President for Research and Graduate Studies. As explained by Vice President Sigelman earlier, the AVPHRTT position is now vacant, and the successor title for that office will now be Associate Vice President for Health Research (AVPHR). Professor Briscoe asked, if an interim policy was adopted and there is presently no one serving as AVPHR, who would be responsible for that role until such time as the position is filled. Vice President Lehman said he thought this would fall to the VPHA, since the AVPHR will report to the VPHA. The Executive Vice President for Academic Affairs, he noted, is the official who ultimately decides scientific misconduct cases under the Policy.

With the agreement of the Senate, Professor Griffith withdrew the motion on the floor, and moved that the Policy be adopted as an interim policy, with final approval to await results

of the PEAFF Committee's review, which would include examination of due process issues. The motion was seconded. Discussion followed by Professors Wirtz and Robinson on the wisdom of adopting an interim policy. Vice President Sigelman observed that if the Senate elected to retain the 1991 Policy, that Policy had far fewer due process protections than the Policy they were contemplating adopting on an interim basis.

Professor Packer offered an amendment to the motion on the floor, substituting the VPHA for the AVPHR in the interim policy, and this was accepted as a friendly amendment by Professor Griffith.

Professor Wirtz spoke in opposition to endorsing an interim policy which has not been reviewed thoroughly by the PEAFF Committee, and further discussion followed between Professors Griffith, Wilmarth, Englander, and Vice President Sigelman about the wisdom of adopting an interim policy, and whether or not the PEAFF Committee could reasonably complete its review before the April Senate meeting. Vice President Sigelman reiterated that the current Scientific Misconduct policy is quite old, dating to 1991, and, as noted in the Resolution, the ORI directed the University to revise this policy within 30 days so that the University would remain eligible for Public Health Service funding. The University based its proposed Policy on the ORI model policy with a few changes, simplifying the inquiry process, and designating responsible officials.

Professor Wilmarth spoke in support of accepting the Policy on an interim basis, with the removal of references to the Assistant Vice President beginning on page 5 of the Policy, as previously discussed, and designation of the VPHA to act in place of the AVPHR. He also said he thought that the PEAFF Committee could review the Policy and report back to the Senate at its May meeting. He added that he was concerned that the ORI model policy may have contemplated the possibility of some kind of faculty-based review committee, and that has not been carried forward into the draft Policy. In connection with the PEAFF Committee's review, Professor Wilmarth requested that Vice President Sigelman make available the ORI model policy, and the National Science Foundation (NSF) model policy for the Committee's review. He added that the PEAFF Committee would very much like to hear from Professors Simon and Gallo, and from other faculty who had concerns about the Policy. Finally, Professor Wilmarth said that he thought there should be an understanding that if a proceeding is started in this interim period and the Senate approves an amended Policy, then at the point the amended Policy comes into force, it would control the remaining proceedings in the case.

Professor Garriss related an anecdotal experience and cautionary tale about his participation in an Inspector General's Office [of the National Science Foundation] review of a case against a junior faculty member at another institution which had a bearing potentially on whether or not the faculty member could receive NSF grants in the future. Professor Garriss described how he was unexpectedly sequestered in a conference room for days, during which he reviewed all of the documentation in the case. When Professor Garriss transmitted his conclusion that there had been no academic dishonesty, and the case had no merit, NSF officials attempted to negotiate and impose a sanction even though none was warranted. Professor Garriss pointed out that withholding an NSF grant even for a year was not a minor sanction, but in fact a disgrace that could destroy the career of the faculty member. NSF required that Professor Garriss set down his conclusions in writing, and upon review, the faculty member was totally exonerated. Unfortunately, the case did not have a happy ending, as the

faculty member resigned his position at the institution and sought employment elsewhere. Professor Garriss concluded by saying that this experience brought home to him the importance of due process in such proceedings.

Professor Griffith was asked to clarify the main part of the motion on the floor and did so as follows: (that the Resolving Clause should read)

That the Faculty Senate supports the proposed policy, "The George Washington University Policy and Procedures Regarding Allegations of Scientific Misconduct," to be adopted with appropriate changes in the responsibilities of the AVPHR, as an Interim Policy, replacing the existing policy, until reported favorably by the PEAFC Committee, with a target reporting date of the May, 2004 Faculty Senate meeting.

Vice President Lehman asked if this meant that changes mentioned by Professors Packer, Englander, and Wilmarth concerning the Assistant Vice President and Vice President for Health Affairs designations in the document were included in the motion, and Professor Griffith said that they were.

The question was called on the amendments to the Resolution, a vote was taken, and the amendments were approved with one opposed. The question was then called on the Resolution, a vote was taken, and the Resolution was adopted, as amended, by unanimous vote. (The Resolution and Policy are attached.)

INTRODUCTION OF RESOLUTIONS

No resolutions were introduced.

ANNUAL REPORT ON THE COLLEGE OF PROFESSIONAL STUDIES

Vice President Lehman began his Report by thanking Dean Roger Whitaker, Connie Mokey, and the College of Professional Studies (CPS) staff for assembling the information for the PowerPoint presentation given at the Senate meeting, a copy of which was distributed at the meeting before his oral presentation. Following his oral presentation, a written report was made available for the record containing further information about the CPS. (Both the PowerPoint presentation and the Report are attached to the Minutes)

The mission statement of the CPS derives from the second goal in GW's Strategic Plan for Academic Excellence, which is "to solidify, strengthen, and strategically expand graduate professional education, including programs that meet the need of mid-career and continuous learning audiences." Execution of the CPS mission is important to GW not only because it brings distinction and recognition to the University for the quality of its highly ranked Master's programs in the area of professional education, but also because of the College's potential to enhance the University's revenue base. Vice President Lehman reminded the Senate that GW currently faces constraints upon enlarging the undergraduate population, largely due to insufficient housing and classroom facilities to service this sort of growth. However, GW has the potential to enhance its revenue base in Master's professional education, which does not necessarily have to take place on the main GW campus.

There are three main components in off-campus education programs, and these consist of open enrollment, contracts with area organizations for the delivery of existing GW programs at client preferred sites, and the co-design of customized curricula for partner organizations.

Vice President Lehman then described the scope of open enrollment in off-campus programs, chiefly at three centers in Arlington, Alexandria, and Hampton Roads, where space for the programs is rented and degree programs are offered. There are other sites where such programs are made available, at the Hall of States in the Kennedy Center, the Shakespeare Theater Program, and in Annapolis and Tyson's Corner. While the Virginia Campus (Ashburn) accounts for approximately 23% of off-campus open enrollment outside Foggy Bottom, it is separately budgeted from the CPS; however, one of the goals going forward is to foster increased collaboration between it and the CPS. Something like 11% of open enrollments consist of distance learning courses (9%) and the PACE program (US Navy). Four of the Schools at GW, the School of Business, Columbian College of Arts and Sciences, the Graduate School of Education and Human Development, and the School of Engineering and Applied Science, participate in the open enrollment offerings.

In terms of off-campus contract enrollments, again, the four Schools just named participate. Among the contract programs offered are an Organizational Sciences Certificate and M.A. in Organizational Management with the Navy and the Air Force (CCAS), two M.A. Ed. programs, Secondary Education programs with D.C., Maryland, and Virginia (GSEHD), two Master's programs (SB), and numerous Certificate and Master's programs in Telecommunications and Computers, and Systems Engineering (SEAS).

The overall picture for open enrollment courses shows that the volume of these courses has remained relatively steady over the past seven years, while contract enrollments have increased slowly but steadily over that period. In terms of the Oracle budget, off campus financial contributions, without loading for expenses, (short of grants that support students in GSEHD) amount to approximately \$7,617,740, with an average margin of 45%. Vice President Lehman then reviewed off-campus administrative costs, which totaled some \$4,510,819 in FY '03. This information is presented in slides 13 and 14 of the PowerPoint Presentation.

Vice President Lehman then discussed the role of the CPS with regard to co-designing customized curricula, which was the original purpose in the formation of the CPS. CPS has the ability, in principle, to draw upon competencies from the entire GW community to construct its credit programs. These programs have the added attractiveness of a flexible academic calendar in that they could start in any month, not just at the beginning of established semesters on campus.

At this point CPS has been working on this concept with intensity for just over a year and it is necessary to develop the client base in order for the College to succeed. One example of successful partnering is the Landscape Design Program. This formerly non-credit certificate program has now been transformed into a credit program under the CPS and serves as a feeder program into the Landscape Design/Architecture degree program at Virginia Tech. This credit program currently enrolls 94 students.

Another example of a promising CPS initiative under development is the Police Science program, which will prospectively involve the D.C., Transit, and Capitol Police. This program has already been approved by the CPS Dean's Council and will offer undergraduate certificates

and Associate's and Master's degrees. Other programs in process are outlined in Slides 18-20 of the PowerPoint presentation.

In conclusion, Vice President Lehman reviewed items for consideration as the CPS evolves, which include the development of customized and modularized new curricular offerings through external partnerships. These will, of course, need to be developed and administered by utilizing sound business practices.

Professor Griffith said that the Fiscal Planning and Budgeting Committee (FP&B) learned last year that CPS Dean Whitaker had stepped down as CEO of G.W. Solutions (GWS) which was formed at the same time as the CPS; he asked if the Senate could be informed about developments in GWS. Vice President Lehman explained that GWS was launched at what proved to be a most unfortunate time. It eventually suffered a similar fate as other distance learning ventures that started at the downturn in the dot.com economy. Programs at Columbia University and the University of Maryland-College went out of business completely, and Boston University has incurred huge deficits in the past couple of years in running these programs. Today, GWS is literally only a skeleton, although there are a few individuals in the enterprise left to teach out University commitments in this area. The likelihood of GWS existing beyond another six months is probably very small unless something dramatic happens between now and then.

Professor Griffith asked about the budget figures presented in the report, and said it looked like the CPS is generating something like \$3 million/year, which he presumed would find its way into the Academic Affairs budget. Vice President Lehman responded that the money did indeed find its way into that budget, but that the revenue was not in any way attributed to the CPS because all of the off-campus programs and contract programs are part of the revenue component of the individual schools in the unified budget.

Professor Griffith then asked what impact a GWS budget shortfall would have. Vice President Lehman responded that, since GWS is a wholly owned subsidiary of the University, in effect the loss is absorbed by the University, and not by the Academic Affairs budget.

Professor Wirtz asked for information concerning the CPS Dean's Council. Dean Whitaker reminded Professor Wirtz that in the Task Force Report that created the CPS, the governance structure was clearly specified, and that structure is currently being followed by the College. He offered to send Professor Wirtz this information, but added that, if memory served, Schools involved in the CPS each elect a member to the Dean's Council, and the CPS Dean can appoint others, such as a department chair involved in the off-campus offerings, for a total of 13. These members serve staggered terms of one year with a three year term limit. The Council meets monthly.

Discussion followed between Professors Gallo, Gupta, Vice President Lehman, and Dean Whitaker about existing faculty involvement in customized CPS curricula.

Professor Wilmarth asked if it would be fair to say that in the fiscal year ending June 30, 2003, there were no revenues to the CPS from tuition and student fees, and no courses offered. Dean Whitaker confirmed this was correct, and Vice President Lehman agreed that as of the end of the FY '03 there were no customized contract programs, as the for-credit Landscape

Design program had not enrolled students until the '03-'04 academic year. Given the 94 students currently enrolled in this program, Professor Wilmarth asked how many students CPS thought would enroll next year. Dean Whitaker said that he anticipated further growth in the Landscape Design program, as well as additional enrollments in new programs, such as the Police Studies program, in which between 20 and 25 students are expected to begin their studies during the summer, 2004.

Professor Wilmarth then asked what investment the University has made to date in the CPS. Vice President Lehman responded that in effect, the total investment amounted to the salaries of two Associate Deans, Ginger Smith, and Ali Eskandarian, who are working primarily to develop customized programs.

Professor Wilmarth then said his last comment was in part related to Professor Wirtz's question about the CPS Dean's Council. The Faculty Code, page 23, Section D., paragraph 5, specifies that part of the required annual CPS report to the Senate would indicate how faculty are involved in setting up curricula and also upon decisions made regarding the appointment and promotion of faculty members in CPS. He added that he hoped that future reports would include that information, and Dean Whitaker assured him that they would.

Professor Englander asked if the incipient demise of GWS would result in the release of additional space to the classroom inventory. Vice President Lehman responded that this had already happened to the extent that seventeen of the classrooms used by GWS had already been added to the inventory, with something like four more to be made available.

Professor Swiercz asked if there were reasons to develop the CPS other than enhancement of the University's revenue base. Vice President Lehman responded that revenue enhancement was certainly a very important objective, as the programs that have grown the most in enrollment are activities in off campus Master's programs. While the enrollment in doctoral programs at the University has remained somewhat constant over the years at approximately 1300, there does not seem to be very much room for growth in this sector. Master's programs generate approximately \$1 million for every 100 students enrolled off campus. Another reason to develop the CPS includes enhancing the University's ability to tailor its offerings to the needs of the marketplace and external constituencies.

Professor Gupta asked what percentage of off-campus credit hours are taught by full-time GW faculty. Dean Whitaker said he thought that about 50% of faculty teaching at the Virginia campus and in other off campus programs are full-time regular faculty. These figures will be reported next year in connection with the establishment of the Police Science program.

Professor Swiercz said he thought it important to note what percentage of the full-time regular active-status faculty is tenure accruing, versus contract, faculty. Some of the challenges facing the School of Business are questions about the reappointment and promotion of contract faculty relative to the standards of promotion that are applied to tenure-accruing faculty, and as the numbers of contract faculty increase, this is proving an extraordinarily difficult challenge.

----- Original Message -----

Subject: Re: Revised Annual Reports of Senate Standing Committees
Date: Tue, 15 Jun 2004 09:38:15 -0400
From: Hal Wolman <hwolman@gwu.edu>
To: Nina Posidelow-Cannon <ninap@gwu.edu>
References: <40CE0923.60901@gwu.edu>

Hi - The Faculty Senate minutes of march 12 inaccurately referred to the George Washington Institute of Public Policy (GWIPP) as being a part of the School of Public Policy and Public Administration (SPPPA). It is not. GWIPP is an independnet institute serving the entire university and reporting directly to the Executive Vice-President for Academic Affairs through the Associate Vice-President for Research and Graduate Studies. How do I get this corrected?

Hal Wolman, Director, GWIPP.

Professor Wirtz said that it has recently come to his attention that Presidential Merit Scholarships for doctoral students are apparently awarded centrally without any coordination with the individual Schools or the administration representatives in the Schools who coordinate Doctoral programs. Vice President Lehman responded that this program consists of centrally managed special graduate student support packages targeted to faculty who are research active and have the potential of supporting students in various ways, such as through mentoring. These awards are associated either with signature programs identified in the Strategic Planning Process or with doctoral programs to be identified for increased investment because they will be viewed as programs that will enhance the prestige and reputation of the University. While deans have been involved in different ways, through serving on committees where recommendations were made, as these students who are currently occupying the slots leave the University, the responsibility for recruiting outstanding students will fall on specific faculty. A major reason for this is that these awards are very attractive, having a very high stipend and no work requirement associated with them.

Professor Wirtz then said that it was his view that it is a fundamental prerogative of the faculty to guide the direction of doctoral programs in a School, and that keeping both the deans and the faculty "out of the loop" from the decision making process in something as important as this seemed to him to be inconsistent with a coherent doctoral policy. He added that he would encourage the administration to reconsider whether or not it was wise to operate in this manner, or to bring the Schools into the process as part of a coordinated effort. Vice President Lehman then observed that leaving these decisions (in many cases) to doctoral programs in the Schools had not led to the recruitment of the very best graduate students, and the phase-in of the process now used had been underway for some two or three years in order to better utilize the University's limited resources in the area of graduate student support. Vice President Lehman then recapped information previously supplied to the Senate on the substantial increase in funds made available for graduate student support. These additional monies have already made it possible, he added, for the University to achieve its first strategic academic goal, which was to ensure that a minimum individual stipend of \$15,000 be made available for graduate student support. The overall objective is for the University to target the top programs and allocate additional resources to these in order to advance its Strategic Plan.

Professor Gupta asked if faculty should approach the administration to apply for these programs, or if the administration identified the faculty for them. Vice President Lehman responded that presently, the awards are allocated based on the ranking of different programs in the competitions that have been conducted.

ADJOURNMENT

There being no further business before the Senate, a motion to adjourn was made and seconded. The meeting was adjourned at 4:28 p.m.

Dennis L. Geyer

Dennis L. Geyer
Secretary

A TRIBUTE TO THE MEMORY OF DAVID LYNN ATKINS

It is with deep sorrow that the George Washington University makes record of the death on January 30, 2004, of David Lynn Atkins, Professor Emeritus of Biology.

A native of Wichita Falls, Texas, Professor Atkins received his B.A. in 1957 from the University of Texas, an M.A. in comparative neurobiology from East Texas State University in 1963, and a Ph.D. in neurobiology from Texas A&M University in 1970. He also served in the Army Medical Corps from 1959 to 1961.

Professor Atkins joined The George Washington University's Department of Biological Sciences in September, 1970, as an Assistant Professor. He was promoted to Associate Professor and granted tenure in 1974, and promoted to Professor in 1979. He served as Interim Chair of the Department of Biological Sciences in 1985. Professor Atkins served on a number of departmental and college committees, especially those focusing directly on student interests, and in 1975 he was a member of the Faculty Senate. In 1999 he retired from the university and was named Professor Emeritus. He continued to teach part-time through 2000.

During his tenure at The George Washington University Professor Atkins taught comparative anatomy and neuroanatomy. He was a highly effective teacher, beloved by his undergraduate and graduate students alike. His research dealt with the comparative anatomy of various brain structures in different vertebrate groups. Over the years he wrote scientific articles and contributed a chapter to a book about wolves. He was known for his sharp intellect and wit and will be greatly missed by his colleagues in Biology.

Be it resolved that these remarks be incorporated in the minutes of the Senate, and a copy sent to Professor Atkins's beloved wife Normandie.

Randall Packer
Professor of Biology

March 12, 2004

A TRIBUTE IN MEMORY OF STEFAN OTTO SCHIFF

Born in Braunschweig, Germany, Stefan Otto Schiff came to the United States at the age of ten. He completed secondary school in Marion, Virginia. In 1952 he received his B.S. degree from Roanoke College and his Ph.D. in zoology and radiation biology in 1964 from the University of Tennessee, Knoxville.

In 1964 he joined The George Washington University faculty in the Department of Biological Sciences, which he chaired during a ten-year period of growth and expansion, from 1977 until 1987. A highly effective and innovative administrator, dedicated to academic excellence, he co-founded the University's graduate genetics program in 1970. He directed the program for 16 years.

A superb teacher, intellectually challenging and engaging, Professor Schiff was equally effective teaching graduate and undergraduate students. Generations of students confirmed his singular pedagogical talents by selecting his introductory Biology course to fulfill their science requirement. Even after his retirement in 1995, he continued to teach his much-lauded course on a part-time basis until 2000.

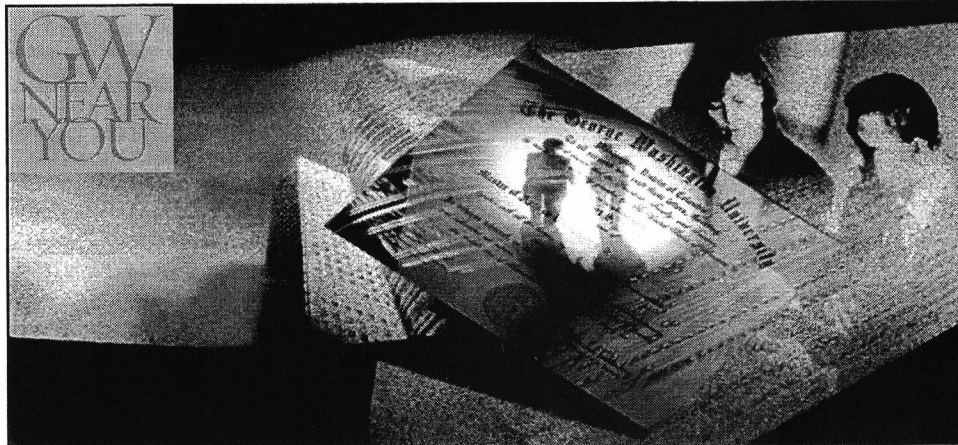
Professor Schiff provided a remarkable level of service to the University through his work in Columbian College, numerous University committees and task forces, and on the Faculty Senate. Setting a record at the time of his retirement, he served continuously for twenty-three years on the Faculty Senate. He was a member of the Executive Committee for three years and served as Chair of the Educational Policy Committee for nine years, Chair of the Athletics and Recreation Committee for five years, one year as Chair of the Student Financial Aid Committee, and Chair of the Committee on Administrative Matters as They Affect the Faculty for one year. Additionally, he was the Co-Chair of the Joint Committee of Faculty and Students for five years. Colleagues who had the honor and pleasure of working with him inevitably recognized and admired his independence of spirit, integrity, and perseverance in support and defense of the highest principles of the academy. As much appreciated was Professor Schiff's self-effacing manner and quick wit.

Professor Schiff was beloved by generations of students to whom he succeeded in conveying his intellectual curiosity and love of learning as well as a remarkable level of personal concern. His many colleagues throughout the University held him in the highest esteem, recognizing the enduring impact of his contributions, professional and personal.

I ask that these remarks be made part of the record and that, with the heartfelt sympathies of his many friends at The George Washington University, a copy be forwarded to Professor Schiff's family.

Lilien Filipovitch Robinson
Chair, Executive Committee
Faculty Senate

March 12, 2004



College of Professional Studies

Faculty Senate
March 12, 2004



The College of Professional Studies



Mission

The College of Professional Studies' mission is to solidify, strengthen, and strategically expand graduate professional education including programs that meet the needs of mid-career and continuous learning audiences.

(Goal 2 of the University's Strategic Plan for Academic Excellence)

Through the continuing establishment of partnerships with industry, government, and other entities, the University will increase its responsiveness to the needs of the external community and offer new state-of-the-field programs co-designed with clients in response to identified educational needs.



Strategic Intention

CPS has three strategies to expand professional education to meet the needs of mid-career and continuous learning audiences:

- Introduce or expand open-enrollment programs from the University's main campus to locations convenient for working professionals
- Contract with area organizations for the delivery of existing GW programs at a site preferred by the client organization
- Co-design customized new certificate or degree programs (undergraduate or graduate) through GW's College of Professional Studies

3



Open Enrollment

4



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Schools and Programs

School and Program	VA Campus	DC	VA						MD	Other
	VA Campus	K St Hall of States Shakespeare	Hampton Roads	VA Beach Richmond	Alexandria	Arlington	Tysons	Naval Acad Southern MD		Distance
Columbian College of Arts and Sciences (CCAS)										
M.F.A. Classical Acting			X							
M.A. Legislative Affairs		X								
M.A. Criminal Justice						X				
M.A. Organizational Sciences						X				
M.A. Telecommunication						X				
Graduate Certificate Organizational Sciences						X				
Graduate Certificate Political Action Committees (PAC's)		X								
Graduate Certificate Computer Fraud Investigation						X				
Graduate Certificate Security Management						X				
Graduate Certificate Leadership Coaching						X				
Graduate Certificate Telecommunication and National Security						X				
Graduate Certificate Survey Design and Data Analysis					X					
Undergraduate Courses - NC-PACE										X
School of Business										
MBA	X	X				X				
Information Systems Technology (MS IST)	X					X				
Accelerated Master of Tourism Administration						X				X
Master of Science in Project Management						X				X
Graduate Certificate Airline Management						X				

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THE GEORGE
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Schools and Programs

School and Program	VA Campus	DC	VA						MD	Other
	VA Campus	K St Hall of States Shakespeare	Hampton Roads	VA Beach Richmond	Alexandria	Arlington	Tysons	Naval Acad Southern MD		Distance
Graduate School of Education & Human Development (GSEHD)										
M.A. in Ed & H.D. Educational Leadership and Administration			X	X	X	X				
Ed.S. Educational Leadership and Administration			X	X	X	X				
M.A. in Ed & H.D. Educational Technology Leadership					X					
M.A. in Ed & H.D. Human Resource Development			X	X	X					
M.A. in Ed & H.D. School Counseling						X				
M.Ed. Secondary Education Preparation for Initial Teaching Licensure							X			
M.A. in Ed & H.D. and Ed.S.										
Ed.D. Educational Administration and Policy Studies			X		X					
Ed.D. Higher Education Administration			X							
Ed.D. Human Resource Development	X									

6



Schools and Programs

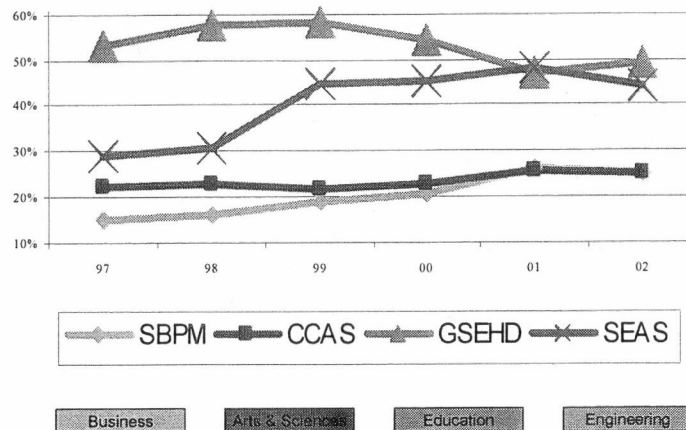
School and Program	VA Campus	DC	VA							MD	Other
	VA Campus	K St Hall of States Shakespeare	Hampton Roads	VA Beach	Richmond	Alexandria	Arlington	Tysons	Naval Acad	Southern MD	Distance
School of Engineering and Applied Science (SEAS)											
M.S. and M.E.M Engineering Management	X			X		X	X				
M.E.M Engineering Management				X							
M.S. Systems Engineering	X										
M.S. Telecommunications and Computers	X					X					
M.S. Electrical Engineering	X										
D.Sc. / M.S. Computer Engineering	X										
D.Sc. / M.S. Computer Science	X										
D.Sc. / M.S. Civil & Environmental Engineering	X										
Graduate Certificate Information Security Management						X					
Graduate Certificate Knowledge Management						X	X				
Graduate Certificate Crisis and Emergency Management						X					
Graduate Certificate Engineering and Technology Management						X	X				
Graduate Certificate Wireless & Mobile Networks	X										
Certificate Computer Security & Info Assurance	X										

7



Master's / Certificate Students

as % of School Total
Off-Campus
(locations other than Foggy Bottom and VA Campus)

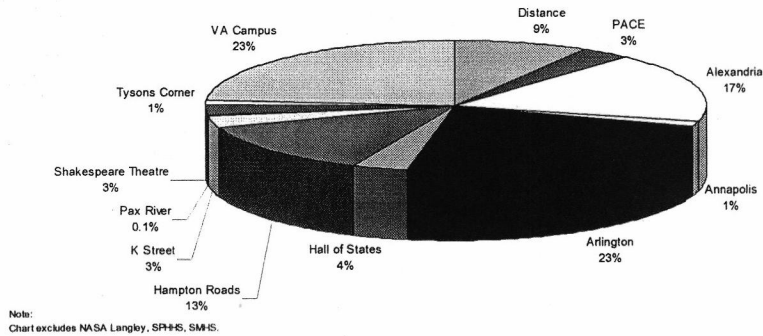


8



Open Enrollment Outside Foggy Bottom Credit Hours by Site AY 02 – 03

(n = 35,763)



Contracts



Contracts

AY02 - 03



School	Client	Program	Site	Cr Hrs AY02 - 03	Percent of Contract Total
CCAS	US Air Force	Org Sci - Cert & MA Org Mgt	Arlington	939	
	US Navy	Org Sci - MA Org Mgt	Arlington	564	
	Total CCAS			1,503	14%
GSEHD	US Navy	Cert - Leadership Development	Hampton Roads	144	
	CJS	MA Ed & HD - Indiv Pgm	CJS	198	
	DC	Secondary Ed	DC Schools	1,371	
	MD	Secondary Ed	MD Schools	1,308	
	VA	Secondary Ed	VA Schools	1,468	
	Singapore	MA Ed & HD - HRD	Singapore	264	
	Total GSEHD			4,753	43%
SBPM	SAIC	AMBA	SAIC	621	
	NTU	MS Project Management	NTU - Distance	62	
	Total SBPM			683	6%
SEAS	Bogazici U.	MS Telecom & Computers	Bogazici U.	528	
	DoD	MS Telecom & Computers	DoD	621	
	LMC	Sys Engr - Cert & Masters	LMC	345	
	NIMA	Sys Engr - Cert & Masters	NIMA	621	
	NSWC	Sys Engr - Cert	NSWC	207	
	Orbital Sciences	Sys Engr - Cert & Masters	Orbital Sciences	99	
	SAIC	Sys Engr - Cert & Masters	SAIC	939	
	Taiwan Air Force	Sys Engr - Masters	Taiwan	561	
	Taiwan	Sys Engr - Masters	Taiwan	81	
	Total SEAS			4,002	37%
Total Contracts			10,941	100%	

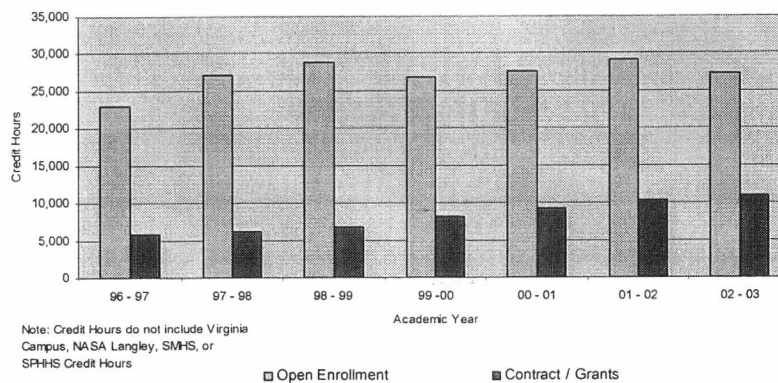
11



Off-Campus Credit Hours

Open Enrollment & Contract

1996 - 2003



12



Off-Campus Financial Contributions FY 03



School	Revenues	Contribution	Gross Margin %
GSEHD*	4,274,704	1,955,032	46%
SEAS	3,992,646	2,526,498	63%
CCAS	3,430,381	1,157,731	34%
SBPM	5,325,875	1,978,479	37%
	17,023,606	7,617,740	45%

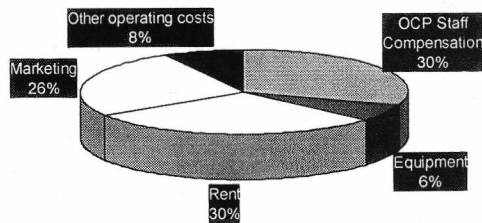
*Excludes grant related programs

13



Off-Campus Administrative Costs FY03

Total = \$4,510,819



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Co-design customized curricula

15



College of Professional Studies

Co-design of Customized Curricula with Organizations

CPS Capacity and the Benefit for Partner Organizations

CPS Features	Client Benefit
<ul style="list-style-type: none">• Co-develops customized curricula addressing industry-specific professional competencies	<ul style="list-style-type: none">• Ability to meet specialized needs• Active participant in the design of curricula
<ul style="list-style-type: none">• Draws expertise from throughout the entire GW community of experts (and beyond) to develop interdisciplinary programs to meet enduring and emerging needs	<ul style="list-style-type: none">• Access to innovative combinations of course work from multiple departments and schools
<ul style="list-style-type: none">• Modularizes curricula for the most meaningful learning structure	<ul style="list-style-type: none">• Allows for the delivery of content in units other than conventional 3 credit/14 week course

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College of Professional Studies

Co-design of Customized Curricula with Organizations



THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC

CPS Capacity and the Benefit for Partner Organizations

CPS Features	Client Benefit
<ul style="list-style-type: none">Grants undergraduate and graduate certificates as free-standing bodies of knowledge or for integration with other course work constituting academic degrees	<ul style="list-style-type: none">Client organizations may address competency requirements in more focused, smaller units.Offer employees access to GW credential at either certificate or degree level
<ul style="list-style-type: none">Flexible delivery formats including technically mediated instruction	<ul style="list-style-type: none">Client has multi-modal access to curricular content – on site, GW classroom based, distance learning or blended
<ul style="list-style-type: none">Accommodates client organization's scheduling needs	<ul style="list-style-type: none">Client maximizes workforce efficiency and participating students can more easily balance work and school

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CPS – Client/Partner Co-designed Program Initiatives



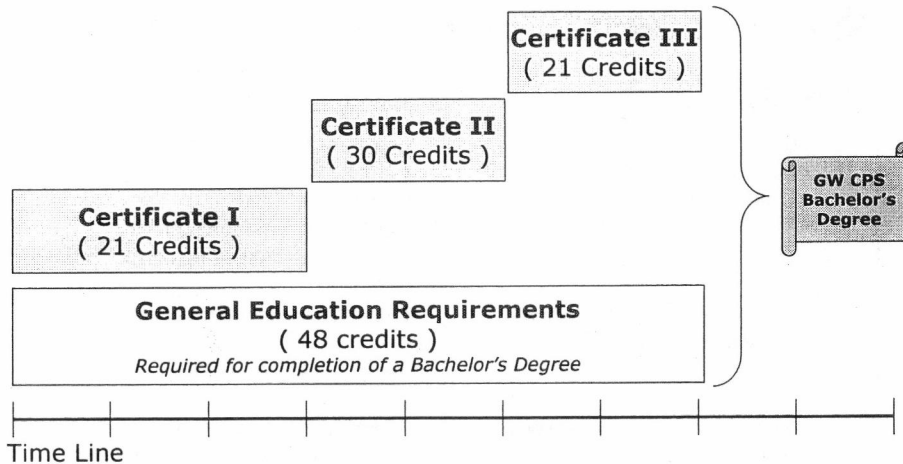
THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC

Client/Partner	Program	Status
DC Area Police Transit, Capitol, DC, UPD	Police Science Undergraduate Certificates, Associate's & Bachelor's	Approved by CPS Dean's Council
VA Tech School of Landscape Architecture	Landscape Design Graduate Certificate	MOU signed Approved/ launched Fall 03
Hildebrandt International and GW Center for Law Firm Strategy & Management	Leadership & Management in Professional Service (Law Firm Management) Graduate Certificates & Master's	MOU signed Curriculum in design Market assessment underway
DC Hospitality Industry & SB Department of Tourism Administration	Hospitality Management Undergraduate Certificate and Degree	Under discussion
Federal CIO Agencies & USDA Graduate School	Information Technology Professional Undergraduate Certificate and Degree	Concept approved by Dean's Council Market assessment underway
Professional Psychology, Counseling, Health Policy & Medical Center	Dual Diagnosis (co-occurring mental illness & substance abuse) Graduate Certificate or Degree	CGs Planning grant 1 of 4 foundation grants awarded from Ford or Sloan
National Center for State Courts & GW Law School	Judicial Administration Graduate Certificate or Degree	Curriculum in design MOU under review Market assessment underway

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Modularized Curricula For Police Professionals



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College of Professional Studies

CPS Curricular Development with Partner Organizations

Certificate II: Strategic Procedures for Police Professionals (30 cr. hrs.)

- Ethics in Law Enforcement (2 crs.)
- Conflict Management (1 cr.)
- Strategic Planning for Organizational Change (1 cr.)
- Crisis, Emergency, and Risk Management (3 crs.)
- Evidence and Courtroom Procedures (2 crs.)
- Physical Security (2 crs.)
- Violence and the Family (3 crs.)
- Deviance and Control (3 crs.)
- Transnational Security (2 crs.)
- Emergency Public Health (2 crs.)
- Weapons of Mass Destruction (1 cr.)
- Civil Disobedience (2 cr.)
- Psychology of Crime and Violence (3 crs.)
- Youth and Delinquency (3 crs.)

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Items for Consideration As We Evolve



- Customization and standard requirements
- Co-designing and co-developing
- Resources for delivery development
- Capacities of faculty resources
- Repetitive use makes more sense
- Portability of customized credentials

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Conclusions



- New curricula addressing professional competency requirements must be developed in the context of curricular joint ventures (partnerships)
- Customization, modularization and rigorous program assessment are keys to a successful curriculum
- Sound business practices are essential for successful partnerships

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**COLLEGE OF PROFESSIONAL STUDIES
2002-2003**

REPORT TO THE FACULTY SENATE

by

Donald R. Lehman

Executive Vice President for Academic Affairs

The George Washington University

Washington, DC 20052

March 12, 2004

College of Professional Studies

INTRODUCTION

The creation of the College of Professional Studies was authorized by GW's Board of Trustees in October 2000. The College was approved to offer associate, bachelor, and master's degrees in Professional Studies. The Board's decision was preceded and followed by broad-ranging discussions among University faculty, staff, and trustees regarding the mandate and mission of such a college, how it could best be implemented, and its implications for other schools and the University as a whole. A dean search began in the spring of 2001 and was completed in Fall 2001. This Report to the Faculty Senate presents an overview of the College's continued development during its second year of operation.

The University's strategic plan for academic excellence makes explicit reference to programming for mid-career and continuous learning audiences (Goal 2). The College of Professional Studies has enhanced GW's ability to deliver programming for those audiences, through its mandate to create market-responsive, customized certificate and degree programs.

ACADEMIC PROGRAMS

The College launched its first program in Fall 2003, a graduate certificate in Landscape Design. This program was converted from a non-credit program that GW has offered for 30 years through the Center for Professional Development and its predecessors. It was already a rigorous program that was recognized by Virginia Polytechnic Institute (VPI)'s School of Architecture as satisfying the first year of coursework in that school's three-year Master of Landscape Architecture program. By converting it to a graduate certificate, CPS gave students the option of transferring the coursework to other universities in addition to VPI, and increased GW's tuition revenue generated per student. Current students who had completed half of the program or less were given the option of transferring to the credit program or remaining in the non-credit program with a maximum of two years to complete the certificate in non-credit status. In Fall 2003, 94 students enrolled in the credit program generating 288 course registrations. Approximately 40 of those students had previously been students in the non-credit program and transferred, while about 60 students elected to remain in non-credit status.

Also approved by the Dean's Council was an accelerated master's degree in Space Systems. This was developed for Aero Astro Systems to be delivered under contract. There was a delay in the client's receipt of expected funding and so the program is on hold for an indefinite period and will not be forwarded to the EVPAA for approval until a client commitment is available.

Most recently, CPS has developed three undergraduate certificates, an associate's degree, and a bachelor's degree in Police Science. These programs were the result of discussions with local

law enforcement agencies that actually began several years ago, but at that time there were institutional obstacles to the development of customized programs that have largely been overcome by the creation of CPS. Two local law enforcement agencies, the Capitol Police and Transit Police, participated in the design of the program by convening focus groups of the officers who would potentially be students in the program and their supervisors. The program is now in the final stages of curriculum review and approval.

Other academic programs that are still in preliminary stages of consideration and development are outlined below in the "Client Relations" section.

GOVERNANCE

Dean's Council

The Dean's Council has met, as agreed during its first year, once per month from September through May. The current membership list is attached as Appendix A.

The major official actions taken by the Dean's Council since last year's report included approval of the programs noted above, and approval of the transfer of the Center for Excellence in Municipal Management from the School of Business to CPS. (This transfer is still awaiting approval in Academic Affairs.) The Council also continued discussions begun last year on the subjects of non-tenure-track faculty, and various university policies as they apply to non-traditional students.

Strategic Plan

CPS adopted the following goals for FY04:

1. Provide customized curricular solutions co-designed with client organizations to address industry-specific competencies.
2. Grow revenue profitably.
3. Establish and enhance effective organizational partnerships.
4. Strengthen CPS capacity for business and curricular development.
5. Strengthen CPS infrastructure to provide high-quality, effective and efficient business services.

Appendix B is a document indicating how these goals of CPS contribute to GW's Strategic Plan for Academic Excellence.

COLLEGE ADMINISTRATION

Financials

The budget office's FY03 closeout report on the College of Professional Studies is attached as Appendix C. There was a net surplus relative to budget of \$29,726, excluding compensation savings from position vacancies of \$124,273. In addition, a summary of off-campus programs

supported by CPS is included, although the budget office now reports the performance of these programs within their respective schools.

Off-Campus Programs

CPS continued to manage three off-campus centers, in Alexandria, Arlington, and Newport News. The financial results of programs housed at these centers are summarized in Appendix C. This report was prepared by CPS staff since the university's financial reports include the financial results of these programs in the reports of their respective schools and the university does not issue a report for off-campus programs considered as a group.

A major change that took place this year with respect to off-campus programs was the discontinuation in January 2004 of the marketing contract with GWSolutions and the resumption of the marketing function by CPS. There had been some problems in the way marketing was handled by GWSolutions and it is hoped that by resuming that responsibility CPS can reverse the enrollment decline that some off-campus programs have experienced. In the coming year, the major change to be considered regarding these programs will be a decision about the location of the Alexandria Center which GW has occupied for ten years; the lease for the current space expires in August of 2005.

CLIENT/PARTNER RELATIONS

Over the past year CPS has continued or opened discussions with several potential client companies and partnering organizations. While not all of the following may finally result in new degree programs, they are active conversations that illustrate the CPS approach to curricular co-development with partner organizations.

Hildebrandt Institute CPS was approached by the Hildebrandt Institute, a leading consulting firm in law firm management, about the possibility of offering credit programs in law firm leadership or management. GW's Law School and the Center for Law Firm Strategy and Management in the Department of Public Administration have also participated in these discussions along with CPS. An MOU was signed in December 2003 regarding these programs as well as research and conference co-sponsorship. Hildebrandt and CPS are conducting focus groups this spring with members of the major association of law firm managers to assess the demand for degrees in this field and to begin formulating the curriculum content. This program offers the potential to be expanded into the area of professional services management.

National Center for State Courts (NCSC) GW's Law School, and the National Center for State Courts, believe there is a market for a customized master's degree in court or judicial management. The current thinking is that CPS will create the degree, with substantial participation by the Law School in terms of curriculum development and faculty recruitment. A draft MOU with NCSC is under review.

Council of Graduate Schools (CGS) GW received small grants from the Sloan and Ford Foundations, both administered through CGS, to study the feasibility of developing Professional Master's degrees in the sciences, social sciences, and humanities. As these grants are designed

to encourage multidisciplinary, professionally-focused degrees, CPS was asked by the Office of Academic Affairs to coordinate the grant submission and the resulting feasibility study. GW received grants to assess programs in the areas of Museums and Social Service; Fine and Decorative Arts Appraisal; Dual Diagnosis (co-occurring mental illness and substance abuse); and Financial Mathematics.

Graduate School (GS), US Department of Agriculture (USDA). CPS and GWSolutions began work last year on an initiative with the USDA-GS to provide thousands of government employees with a career management tool that will allow them to assess their skills and knowledge in the Information Technology Management areas, as developed in the Office of Personnel Management's (OPM's) standards, and tie it directly to their job level competency requirements with a roadmap for future promotions and placements. CPS is considering the development of a degree completion component of this initiative, ultimately leading to a certificate, Bachelor's or Master's degree. Currently CPS and USDA-GS are assessing demand for the product in a number of federal agencies.

Navy Fleet Information Warfare Center (FIWC). Last year CPS developed an undergraduate degree completion and a graduate degree initiative for the FIWC, a command established in 2002 which is responsible for network operations and security. Two Vice Admirals, one from each coast, in addition to the proper authorities from the Naval Postgraduate School (NPS) have been briefed and given their full support to this initiative, indicating how such an initiative would positively transform the Navy education. CPS is awaiting issuance of an RFP by the Navy in order to further pursue this opportunity.

GW's Institute for Crisis, Disaster and Risk Management has approached CPS with the desire to offer a graduate certificate in Homeland Security. The 18-credit-hour certificate would require two new courses to be developed and offered by CPS, and four elective courses chosen from among GW's many existing courses in diverse fields related to homeland security such as information systems, physical security, security policy and analysis, and public health. This program has been discussed with the CPS Dean's Council but is still in the development phase and a formal proposal has not been submitted for approval yet.

GW's School of Business—Department of Tourism and Hospitality Management has proposed a new academic initiative, encompassing several possible degree or certificate programs, in the area of urban hospitality management, in which CPS would participate.

APPENDIX A

Membership of the College of Professional Studies Dean's Council As of February 2002

Name	Email	Campus Address	Room/Suite
Whitaker, Roger	rogerw@gwu.edu	805 21st Street, NW	Suite 301
Brown, Walter	wbrown@gwu.edu	2134 G Street, NW	Room 322
Carson, John	carson@gwu.edu	Monroe Hall	Room 402B
Cushman, Chuck	cushmanc@gwu.edu	MPA	Room 401
East, Maurice	meast@gwu.edu	Stuart Hall	Room 202B
Frechtling, Doug	frechtli@gwu.edu	600 21st Street, NW	Suite 201
Helgert, Hermann	helgert@seas.gwu.edu	Phillips Hall 628	6 th Floor
Marotta, Sylvia	syl@gwu.edu	2134 G Street, NW	Room 326
Shotel, Jay	jshotel@gwu.edu	2134 G Street, NW	Room 428
Southby, Richard	sphrfs@gwumc.edu	Ross Hall	Room 106B
Sterling, Chris (Chair)	chriss@gwu.edu	805 21st Street, NW	4 th Floor
Williams, Larry	lrw@gwu.edu	Monroe Hall	Room 403B
Winslow, Erik	erikw@gwu.edu	Monroe Hall	Room 403

APPENDIX B

GW Strategic Plan for Academic Excellence

Strategies and Metrics Adopted by the College of Professional Studies

August 20, 2003

Goal 1

Move GW solidly into the ranks of the first-tier educational institutions through quality undergraduate education and selected top-ranked graduate programs, especially at the doctoral level.

Objective 1A

Enhance challenge, discovery, and quality in undergraduate education.

STRATEGIES:

- Ensure that all students acquire proficiency in information technology appropriate for their discipline. (CPS)
- Examine and improve the coherence, integration, and progression of subject knowledge in all undergraduate programs to maximize student learning and academic challenge. (CPS)
- Improve the quality of academic advising for GW students by increasing student contact with faculty and professional advisors and by making greater use of advising technology such as the degree audit. (CPS)

METRICS:

- Rating of “intellectual challenge in your major” from item on GW Graduating Senior Survey. (CPS)
- Student satisfaction with “overall quality of education” from item on GW Graduating Senior Survey. (CPS)
- Student satisfaction with “major advising” from item on GW Graduating Senior Survey. (CPS)

Objective 1B

Promote selective excellence and greater visibility of GW graduate education programs.

STRATEGIES:

- Recruit, retain, and graduate highly-qualified graduate students. (CPS/OCP)
- Provide graduate students with a challenging learning environment, faculty mentoring for teaching and research, and skilled advising for career development. (CPS/OCP)
- Increase the number of graduate programs offered on the Virginia campus. (CPS/OCP)
- Conduct a comprehensive marketing initiative for GW's graduate programs to increase student applications and student selectivity. (OCP)

METRICS:

- Graduate student recruitment success by school and program (number of commits/number of admits). (CPS/OCP)
- Rating of "intellectual quality of the faculty" from item on GW Graduate Student Graduation Survey. (CPS)
- Rating of "overall quality of academic experience at GW" from item on GW Graduate Student Graduation Survey. (CPS)
- Rating of "quality of advising regarding career options and plans" from item on GW Graduate Student Graduation Survey. (CPS)

Objective 1C

Selectively invest in academic areas with the potential to become GW's "signature programs" through their contributions to academic excellence, intellectual distinction, competitive advantage, and University prestige.

CPS does not expect to make a significant contribution because the areas identified are housed within other schools.

Goal 2

Solidify, strengthen, and strategically expand graduate professional education including programs that meet the needs of mid-career and continuous learning audiences.

STRATEGIES:

- Strengthen excellent and promising professional graduate programs that address vital national issues, workforce training needs, and market opportunities. (CPS/OCP)
- Expand strategic alliances and partnerships with Washington-area business, government, non-profit, and K—12 educational institutions so that these agencies will turn to GW as the educator of choice for programs to benefit working professionals. (CPS/OCP)
- Encourage collaborative partnerships between the GW schools and the College of Professional Studies and GW Solutions to develop new programs. (CPS/OCP)
- Create professional master's, certificate, and continuing education programs that target new markets of learners, capitalize on GW expertise, and support regional economic and community development. (CPS)
- Increase the use of distance learning models in targeted areas to address individual learning needs and high student demand for programs. (CPS)
- Provide customized professional programming and consulting services for government and private sector partners. (CPS)

METRICS:

- Student credit hours in professional *master's*, *certificate*, distance learning, and continuing education programs (measured separately). (CPS/OCP)
- Number of graduates of professional *master's*, *certificate*, distance learning, and continuing education programs (measured separately). (CPS/OCP)
- Number of *master's degree and for-credit/non-credit* offerings (including distance learning) that involve collaboration between CPS/GWS and a GW school. (CPS/OCP)
- Number of partnerships and curricular joint ventures with Washington area agencies in government, non-profit, educational, and business/industry sectors. (CPS)
- Number of professional *undergraduate*, *master's*, *certificate*, professional/executive development and consulting programs (measured separately). (CPS)

Goal 3

Move GW into the ranks of the top-tier research institutions through continued and enhanced facilitation of faculty scholarship and research growth.

CPS does not expect to contribute significantly to this goal. It has no tenured faculty and is not authorized to offer doctoral programs which are necessary for high rankings in research.

Goal 4

Continue to develop a strong sense of community.

CPS does not expect to contribute significantly to this goal as it has no faculty at this time and no programs at the Foggy Bottom campus.

Goal 5

Strengthen GW's infrastructure, including the University's libraries, technology resources, and business and service operations, to support excellence in the academic enterprise.

Objective 5 A

Strengthen the University's libraries to ensure the highest quality resources for undergraduate and graduate instruction, research, scholarship, and creative projects.

STRATEGIES:

- Expand support for electronic access to important archives and journals. (CPS/OCP)
- Incorporate an assessment component in the delivery of all internal and external library services. (CPS/OCP)

METRICS:

- Graduate student satisfaction with "library resources" from item on GW Graduate Student Graduation Survey. (CPS/OCP)
- Undergraduate satisfaction with "library resources or holdings" from item on GW Graduating Senior Survey. (CPS)

Objective 5B

Deliver new and expanded technology to all areas of the University.

STRATEGIES:

- Prepare additional faculty members to effectively integrate information technology in their teaching, research, and service. (CPS/OCP)
- Equip an appropriate number of general purpose classrooms with state-of-the-art instructional technology to meet the needs of GW faculty. (OCP)

METRICS:

- Rating of satisfaction with computer facilities, services, and support from items on GW Graduating Senior Survey and GW Graduate Student Graduation Survey. (CPS/OCP)
- Number of general purpose technology-equipped classrooms available for computer-based and multimedia instruction each new academic year. (OCP)

Objective 5C

Create top-performing business and service operations to support academic excellence.

STRATEGIES:

- Enhance the professional and career development of GW staff through high-quality orientation, training, performance evaluation, and recognition and rewards programs. (CPS/OCP)
- Improve the skills of business and service managers through training in leadership, community-building, and creating an environment of accountability. (CPS/OCP)
- Maintain a first-class Web presence and portal technology for internal and external GW constituencies. (CPS/OCP)
- Maintain attractive, functional, well-equipped classrooms, laboratories, studios, student service offices, and other physical facilities to support established academic priorities. (OCP)

METRICS:

- Number of completed renovations of classrooms, laboratories, and other targeted facilities. (CPS/OCP)

Goal 6

Maintain a strong financial base.

STRATEGIES:

- Pursue multiple strategies for revenue generation, recognizing the value of income from external grants and contracts, new and expanded master's and noncredit programs, entrepreneurial activities, and gifts from alumni, friends, foundations, and corporate partners. (CPS/OCP)

METRICS:

- Annual revenue, including *tuition* and funds from sponsored research, fund raising, *contract* and entrepreneurial activities. (CPS/OCP)

APPENDIX C

FY03 Final Budget Reports for the College of Professional Studies and Off-Campus Programs

COLLEGE OF PROFESSIONAL STUDIES
FY03 FINAL YEAR-END CLOSEOUT
(budget to actual variances)

FINANCIAL CATEGORY	UNIT LEVEL						ADJUSTMENTS	GRAND TOTAL
	Dean of CPS	CPS Library Services	Alexandria Administration	Arlington Administration	Hampton Administration	SUBTOTAL		
REVENUE								
Student Fees					-	-	-	-
Miscellaneous	145,538	-		-	600	146,138	-	146,138
Revenue Surplus/(Deficit)	145,538				600	146,138		146,138
EXPENSE								
Compensation						-		-
Instructional	-	-	-	-	-	-		-
Staff	10,289	19,362	66,790	3,418	6,387	106,246	-	106,246
Fringe Benefits	1,152	3,289	15,176	2,549	1,047	23,213	-	23,213
Total Compensation	11,441	22,651	81,966	5,967	7,434	129,459	-	129,459
Financial Aid	-	-	-	-	-	-	-	-
Operating Expense						-		-
Purchased Services						-		-
Temporary Services	500	-	1,000	(6,686)	-	(5,186)	-	(5,186)
Consultant Expenses	(9,625)	-	(450)	(25,850)	-	(35,925)	-	(35,925)
Other Purchased Services	(97,738)	-	11,839	9,232	(1,682)	(78,349)	-	(78,349)
Total Purchased Services	(106,863)	-	12,389	(23,304)	(1,682)	(119,460)	-	(119,460)
Other Operating Expenses	(15,526)	5,442	17,381	(24,805)	15,370	(2,138)	-	(2,138)
Total Operating Expense	(122,389)	5,442	29,770	(48,109)	13,688	(121,598)	-	(121,598)
Total Expense	(110,948)	28,093	111,736	(42,142)	21,122	7,861		7,861
Transfers						-		-
Expense Surplus/(Deficit)	(110,948)	28,093	111,736	(42,142)	21,122	7,861		7,861
GROSS MARGIN	34,590	28,093	111,736	(42,142)	21,722	153,999		153,999
Year-End Adjustments						-		-
Compensation Adjustments						-		-
Instructional	-	-	-	-	-	-		-
Staff	(10,289)	(19,362)	(66,790)	(3,418)	(6,387)	(106,246)		(106,246)
Fringe Benefits	(1,152)	(3,289)	(15,176)	(2,549)	(1,047)	(23,213)		(23,213)
Total Compensation Adjustments	(11,441)	(22,651)	(81,966)	(5,967)	(7,434)	(129,459)	-	(129,459)
Purchased Service Adjustments						-		-
Temporary Services	-	-	-	5,967	-	5,967	(781)	5,186
Consultants						-		-
Total Purchased Service Adjustments	-	-	-	5,967	-	5,967	(781)	5,186
Other Adjustments						-		-
FY02 Revenue used to offset deficit						-		-
Reversed erroneous budget entry						-		-
Total Other Adjustments	-	-	-	-	-	-		-
						-		-
						-		-
						-		-
						-		-
						-		-
Total Year-End Adjustments	(11,441)	(22,651)	(81,966)	(7,434)		(123,492)	(781)	(124,273)
MARGIN SURPLUS/(DEFICIT)	23,149	5,442	29,770	(42,142)	14,288	30,507	(781)	29,726

Off-Campus budget performance, FY03

as of 7/10/03

	Revenues	Expenditures	Contribution
GSEHD			
160307 tuition remission		366,742	(366,742)
161601 College of Jewish Studies	42,750	32,006	10,744
161602 GSEHD Off-campus (Grants Sec. Ed.)	1,982,689	241,382	1,741,307
161603 Arlington Secondary Ed	530,032	178,081	351,951
137204 Hampton HRD	284,802	182,299	102,503
137207 Hampton EDD Ed. Admin. & Policy	455,519	194,773	260,746
137208 Hampton EDD Higher Ed Leadership	378,289	282,900	95,389
137209 Hampton Ed Admin & Supervision	841,065	487,786	353,279
131403 Alex. GSEHD tuition remission		239,281	(239,281)
131404 Alex. School Counseling	384,343	175,581	208,762
131403 Alex. Bilingual SPED			
131406 Alex. HRD	445,944	237,134	208,810
131408 Alex. Ed. Tech. Leadership	336,360	151,565	184,795
131409 Alex. Ed Leadership Ma/EdD	575,600	158,266	417,334
Total GSEHD	6,257,393	2,927,796	3,329,597
SEAS			
175402 NSA Telecomms Ft. Meade	567,698	220,292	347,406
175403 ECE Arlington	55,524	0	55,524
OR-Pax River			
175501 EMSE Tysons, Annapolis, Arl, So Md	964,155	558,807	405,348
175502 EMSE contracts	1,294,952	351,593	943,359
175503 ISEC Tysons, Alex., Arlington	172,374	410	171,964
131401 Alex. EMSE	697,280	162,393	534,887
131103 EMSE NIST			
131102 EMSE Fair Oaks	0	10	(10)
137213 Hampton EMSE	240,663	172,643	68,020
Total SEAS	3,992,646	1,466,148	2,526,498
CSAS			
155601 Organizational Science	415,726	504,370	(88,644)
155602 Org Sci--Southern Md.	15,709	15,122	587
155603 Org Sci--Navy contract	275,148	210,807	64,341
155501 Telecommunications Arlington	230,706	171,363	59,343
137214 Security Mgt. Hampton	74,579	24,137	50,442
150216 FORS Arlington/Leg. Aff./Survey Design	1,336,231	611,762	724,469
155301 PACE	196,002	46,211	149,791
155604 Air Force Contract--Arlington	495,280	308,581	186,699
155401 Academy for Classical Acting	391,000	380,297	10,703
Total CSAS	3,430,381	2,272,650	1,157,731
SBPM			
141303 Project Mgt. Distance Ed	1,312,913	694,673	618,240
141304 MIS Arlington	1,409,231	1,065,108	344,123
141307 DLAMP Contract			
131402 Alex. AMBA	772,785	562,465	210,320
136503 AMBA at K Street	799,460	443,907	355,553
140314 AMBA at SAIC contract	448,200	124,755	323,445
137212 MTA Distance Ed	583,286	456,488	126,798
Total SBPM	5,325,875	3,347,396	1,978,479
General Marketing/Administration			
134101 Off-Campus Programs	144,438	2,066,081	(1,921,643)
133101 CPS Admin.	1,100	619,765	(618,665)
130209 Library Svcs.		43,854	(43,854)
137201 Hampton	600	477,387	(476,787)
137101 Arlington		413,327	(413,327)
131101 Alexandria		206,879	(206,879)
622435 Arlington Rent		666,241	(666,241)
622429 Alex. Rent		301,801	(301,801)
622416 Hampton rent		266,940	(266,940)
Total General Mktg/Admin	146,138	5,062,275	(4,916,137)
Totals for CPS/Off-Campus Programs	19,152,433	15,076,265	4,076,168

REPORT OF THE EXECUTIVE COMMITTEE

Lilien F. Robinson, Chair

March 12, 2004

ACTIONS OF THE EXECUTIVE COMMITTEE

The Executive Committee referred the AAUP Policy Statement on Contingent Appointments and the Academic Profession to the Committees on Appointment, Salary, and Promotion Policies, and Professional Ethics and Academic Freedom, with the request that they form a joint subcommittee to consider a variety of issues pertaining to contract faculty and make recommendations, as appropriate.

The Executive Committee recommended appointment to a Task Force on Maternity Leave Policies of the following: Patricia Chu (Columbian College) as Chair, Donald Dew (Graduate School of Education and Human Development), Teresa Gabaldon (Law School), Carrie O'Neill (University Counsel's Office), and Annie Wooldridge (Academic Affairs). The Task Force will be appointed by Vice President Lehman.

The Executive Committee requested, via Vice President Lehman, that the administration provide an update on the safety of the University's drinking water.

STATUS OF FACULTY PERSONNEL MATTERS

There are still two faculty grievance cases, which originated in Columbian College, in process. The hearings have now been completed in one case, while the other case is still in the hearing stage.

APRIL MEETING OF THE FACULTY SENATE

The election of the Chair and the members of the Executive Committee for the 2004-05 session will take place at the April meeting of the Senate.

The Executive Committee anticipates that it will be placing three resolutions on the agenda for the April meeting. These are resolutions on the adoption of a revised professional evaluation of courses (Joint Committee of Faculty and Students); the roles of the recommending faculty, advisory school-wide personnel committees, and academic administrators in tenure and promotion cases (Committee on Professional Ethics and Academic Freedom); and library resources and acquisition policies (Committee on Libraries).

Vice President Lehman will present the annual report on Women Faculty and Faculty of Color at the April Senate meeting.

OTHER MATTERS

At its April meeting, the Executive Committee will prepare the list of nominees for membership on the Dispute Resolution Committee.

Please note that the annual photograph of the Senate will be taken at the April meeting.

The 2004 edition of the Faculty Code has now been distributed to the faculty. The Executive Committee extends sincere thanks to the Academic Editor, Judy Arkes, for her sound advice and invaluable assistance; to Doris Trone with respect to the cover design; and to Sue Campbell and Nina Posidelow for their work in providing the index, insertion of the changes, and supervision of the production.

The next meeting of the Executive Committee is scheduled for March 26th. Resolutions, reports, and items of business should reach the Executive Committee prior to that date.

THE GEORGE WASHINGTON UNIVERSITY
Washington, D.C.

The Faculty Senate

March 4, 2004

The Faculty Senate will meet on Friday, March 12, 2004, at 2:10 p.m.,
in the Marvin Center, Room 310.

AGENDA

1. Call to order
2. IN MEMORIAM:

David Lynn Atkins, Professor Emeritus of Biology
Stefan Otto Schiff, Professor Emeritus of Zoology and of Genetics
3. Approval of the minutes of the regular meeting of February 13, 2004, as distributed
4. Resolutions:

A RESOLUTION TO AMEND THE POLICY ON SCIENTIFIC MISCONDUCT (03/8);
Professor William J. Briscoe, Chair, Faculty Senate Committee on Research
(Resolution 03/8 is attached)
5. Introduction of Resolutions
6. Annual Report on the College of Professional Studies: Executive Vice President for
Academic Affairs Donald R. Lehman
7. Update on the School of Public Policy: Vice President Lehman
8. General Business:
 - (a) Nominees for election to the Nominating Committee for the Executive
Committee for the 2004-05 Session: Professor Gary L. Simon (SMHS), Convener;
Professors Mary M. Cheh (GWLS), Kurt J. Darr (SPHHS), Salvatore F. Divita
(SBPM), Robert J. Harrington (SEAS), Sylvia A. Marotta (GSEHD), Joseph Pelzman
(ESIA), and Lilien F. Robinson (CCAS)
 - (b) Report of the Executive Committee: Professor Lilien F. Robinson, Chair
9. Brief Statements (and Questions)
10. Adjournment

Dennis L. Geyer
Dennis L. Geyer
Secretary

Attachment

A RESOLUTION TO AMEND THE POLICY ON SCIENTIFIC MISCONDUCT (03/8)

WHEREAS, The George Washington University has a responsibility to itself and to the federal government and other sponsors of its research to promote and conform to the highest standards of ethical scientific conduct; and

WHEREAS, the Office of Research Integrity (ORI) of the Department of Health and Human Services undertook a review of the University's "Misconduct in Research Policy" dated February 8, 1991 (amended to agree with Faculty Senate Resolution (90/11) passed February 8, 1991) and determined that the policy does not comply with federal regulation (42 CFR Part 50, Subpart A) and that, in order to remain eligible for PHS funding, the University would need to revise its administrative policy for handling allegations of scientific misconduct within 30 days; and

WHEREAS, a new policy patterned closely after ORI's model policy was submitted to ORI in November, 2003, with the understanding that it still needed to be approved within the University; and

WHEREAS, ORI responded that the revised policy was an appropriate response and offered only minor changes, which have been incorporated in the draft; **NOW, THEREFORE**

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

That the Faculty Senate supports the proposed policy, "The George Washington University Policy and Procedures Regarding Allegations of Scientific Misconduct."

Faculty Senate Committee on Research
February 6, 2004

The George Washington University
Policy and Procedures Regarding Allegations of Scientific Misconduct

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I. Introduction

A. General Policy

The research mission of The George Washington University is to create and synthesize knowledge at the frontiers of our understanding and to use that knowledge to address issues of increasing complexity in our world, while strengthening the necessary ties between teaching and research. In pursuing this mission, the University attempts to promote and to conform to the highest standards of ethical scientific conduct.

B. Scope

This policy and the associated procedures apply to all individuals at GW engaged in research, research-training or research-related grant or cooperative agreements.

This policy applies to any person paid by, under the control of, or affiliated with GW, such as faculty, scientists, trainees, technicians and other staff members, students, fellows, guest researchers, or collaborators at or with GW.

This policy and associated procedures will normally be followed when an allegation of possible misconduct in science is received by a GW official. Particular circumstances in an individual case may dictate variation from the normal procedure deemed in the best interests of GW and any applicable outside agency. Any change from normal procedures will maintain fair treatment to the subject of the inquiry or investigation. Any significant variation from the normal procedure set forth in this policy requires the approval of the Associate Vice President for Health Research.

II. Definitions

- A. *Allegation* means any written or oral statement or other indication of possible scientific misconduct made to a GW official.
- B. *Complainant* means a person who makes an allegation of scientific misconduct.
- C. *Conflict of interest* means the real or apparent interference of one person's outside interests with the interests of another person, where potential bias may occur due to prior or existing personal or professional relationships.
- D. *Good faith allegation* means an allegation made with the honest belief that scientific misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for, or willful ignorance of, facts that would disprove the allegation.

- E. *Inquiry* means gathering information and initial fact-finding to determine whether an allegation or apparent instance of scientific misconduct warrants an investigation.
- F. *Investigation* means the examination and evaluation of relevant facts to determine if misconduct has occurred and, if so, to determine the responsible person and the seriousness of the misconduct.
- G. *Investigators* means any person paid by, under the control of, or affiliated with GW, such as faculty, scientists, trainees, technicians, and other staff members, students, fellows, guest researchers, or collaborators at or with GW.
- H. *ORI* means the Office of Research Integrity, the office within the U.S. Department of Health and Human Services (DHHS) that is responsible for the scientific misconduct and research integrity activities of the U.S. Public Health Service.
- I. *PHS* means the U.S. Public Health Service, an operating component of the DHHS.
- J. *PHS regulation* means the Public Health Service regulation establishing standards for GW inquiries and investigations into allegations of scientific misconduct, which is set forth at 42 C.F.R. Part 50, Subpart A, entitled "Responsibility of PHS Awardee and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science."
- K. *PHS support* means PHS grants, contracts, or cooperative agreements or applications therefor.
- L. *Scientific misconduct or misconduct in science* means fabrication, falsification, or plagiarism, in proposing, performing, or reviewing research or in reporting research results, or other practices that seriously deviate from those that are commonly accepted within the research community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.
- Fabrication is making up data or results and recording or reporting them.
 - Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
 - Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

- M. *Research record* means any data, document, computer file, computer diskette, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of an allegation of scientific misconduct. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.
- N. *Respondent* means the person against whom an allegation of scientific misconduct is directed or the person whose actions are the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation, and, if there are multiple respondents, all references in this policy to "respondent" shall also be read in the plural as appropriate.
- O. *Retaliation* means any action that adversely affects the employment or other GW or professional status of an individual that is taken by an institution or another individual (e.g., respondent) because the first individual has in good faith made an allegation of scientific misconduct or of inadequate GW response thereto or has cooperated in good faith with an investigation of such allegation.

III. Rights and Responsibilities

A. Associate Vice President for Health Research

The Associate Vice President for Health Research will have primary responsibility for implementation of the procedures set forth in this document. The Associate Vice President for Health Research is a GW official who is qualified to handle the procedural requirements involved and is sensitive to the varied demands made on those who conduct research, those who are accused of misconduct, and those who report apparent misconduct in good faith.

The Associate Vice President for Health Research will conduct the inquiry and oversee the investigation committee, with consideration that necessary and appropriate expertise may be appropriate to carry out a thorough and authoritative evaluation of the relevant evidence in an inquiry or investigation. The Associate Vice President for Health Research will attempt to maintain the confidentiality of the proceedings, consistent with this policy and other applicable policies and law.

The Associate Vice President for Health Research may, in his or her discretion, be assisted by the Assistant Vice President for Research Compliance and Technology Transfer in fulfilling these responsibilities.

The Associate Vice President for Health Research will assist the investigation committee and GW personnel in complying with these procedures and with applicable standards imposed by government or external funding sources. The Associate Vice President for Health Research is also responsible for maintaining files of all documents and evidence and for the confidentiality and the security of the files.

The Associate Vice President for Health Research will, to the extent and in the manner required by applicable law and regulations, report to ORI and keep ORI apprised of any developments during the course of the inquiry or investigation that may affect current or potential DHHS funding for the individual(s) under investigation or that PHS needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest.

B. Complainant

The complainant will have an opportunity to be interviewed by and present evidence to the Associate Vice President for Health Research during the inquiry and to testify before the investigation committee during the investigation, to review portions of the inquiry and investigation reports pertinent to his/her allegations or testimony, to be informed of the results of the inquiry and investigation, and to be protected from retaliation. Also, if the Associate Vice President for Health Research has determined that the complainant may be able to provide pertinent information on any portions of the draft report; these portions will be given to the complainant for comment.

The complainant is responsible for making allegations in good faith, maintaining confidentiality, and cooperating with an inquiry or investigation.

C. Respondent

The respondent will be informed of the allegations when an inquiry is opened and notified in writing of the final determinations and resulting actions. The respondent will also have the opportunity to be interviewed by and present evidence to the Associate Vice President for Health Research during the inquiry and to testify before the investigation committee during the investigation, to review the draft inquiry and investigation reports.

The respondent is responsible for answering an inquiry or investigation truthfully

and in good faith, maintaining confidentiality and cooperating with the conduct of an inquiry or investigation, and not retaliating against any individual. If the respondent is not found guilty of scientific misconduct, he or she has the right to receive reasonable GW assistance to address any damage to his or her reputation caused directly by The George Washington University.

D. Executive Vice President for Academic Affairs

The Executive Vice President for Academic Affairs will receive the inquiry and/or investigation report and any written comments made by the respondent or the complainant on the draft report. The Executive Vice President for Academic Affairs will consult with the Associate Vice President for Health Research or other appropriate officials and will determine whether to conduct an investigation after receipt of an inquiry report, whether misconduct occurred, whether to impose sanctions, or whether to take other appropriate administrative actions.

IV. General Policies and Principles

A. Responsibility to Report Misconduct

All employees or individuals associated with The George Washington University (GW) should report observed, suspected, or apparent misconduct in science to the Associate Vice President for Health Research. If an individual is unsure whether a suspected incident falls within the definition of scientific misconduct, he or she may call the Associate Vice President for Health Research or the Assistant Vice President for Research Compliance and Technology Transfer at (202-994-2995) to discuss the suspected misconduct informally. If the circumstances described by the individual do not meet the definition of scientific misconduct, but do raise other legitimate concerns, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will refer the individual or allegation to other offices or officials with responsibility for addressing the concerns.

At any time, an employee may have confidential discussions and consultations about concerns of possible scientific misconduct with the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer and will be counseled about appropriate procedures for reporting allegations.

B. Protecting the Complainant

The Associate Vice President for Health Research and Assistant Vice President for Research Compliance and Technology Transfer will also be available to receive

complaints regarding the treatment of individuals who bring allegations of scientific misconduct or of inadequate GW response thereto, and those who cooperate in inquiries or investigations. The Associate Vice President for Health Research and Assistant Vice President for Research Compliance and Technology Transfer will communicate that such persons should not be retaliated against in the terms and conditions of their employment or other status at the institution and will be available to review instances of alleged retaliation for appropriate action.

Employees should immediately report any alleged or apparent retaliation to the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer.

GW is also committed to protecting the privacy of those who report misconduct in good faith to the maximum extent possible. If a complainant requests anonymity, GW will make an effort to honor the request during the allegation assessment or inquiry; however, if the matter is referred to an investigation committee and the complainant's testimony is required, anonymity will no longer be available.

C. Protecting the Respondent

Inquiries and investigations will be conducted in a manner that is designed to provide fair treatment to the respondent(s) in the inquiry or investigation and confidentiality to the extent possible without compromising public health and safety or the thoroughness of the inquiry or investigation.

Individuals accused of scientific misconduct may, at their own expense, consult with legal counsel or a non-lawyer personal adviser (who is not a witness or University official involved or to be involved in the case) in an advisory capacity. Legal counsel and advisors will not be permitted to be present at interviews or meetings conducted during an inquiry or investigation unless the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer authorizes such presence in writing.

D. Cooperation with Inquiries and Investigations

GW Investigators have an obligation to provide relevant evidence to the Associate Vice President for Health Research, Assistant Vice President for Research Compliance and Technology Transfer or other GW officials in the conduct of inquiries or investigations into misconduct allegations.

E. Preliminary Assessment of Allegations

Upon receiving an allegation of scientific misconduct, the Associate Vice President

for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will promptly assess the allegation to determine whether there is sufficient evidence to warrant an inquiry and whether the allegation falls under the definition of scientific misconduct as set forth above.

F. Legal Counsel

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer, an investigation committee, and all other University officials and entities may seek the advice and/or representation of University-provided legal counsel on any and all aspects and at any stages of this policy. The respondent may have the advice of counsel, at the respondent's own expense.

V. Conducting the Inquiry

A. Initiation and Purpose of the Inquiry

Following a preliminary assessment, if the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer determines that the allegation provides sufficient information to warrant an inquiry and falls under the definition of scientific misconduct as set forth above, he or she will promptly initiate an informal inquiry. In initiating the inquiry, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will clearly identify the original allegation and any related issues. The purpose of the inquiry is to make a preliminary evaluation of the available evidence and testimony of the respondent, complainant, and key witnesses to determine whether there is sufficient evidence of possible scientific misconduct to warrant an investigation. The purpose of the inquiry is **not** to reach a final conclusion about whether misconduct definitely occurred or who was responsible. The findings of the inquiry will be set forth in an inquiry report.

B. Sequestration of the Research Records

After initiating an inquiry, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will ordinarily attempt promptly to secure all original research records and materials relevant to the allegation in a confidential manner.

C. Inquiry Process

The Associate Vice President for Health Research and or Assistant Vice President for Research Compliance and Technology Transfer or their designees will interview the complainant, the respondent and key witnesses as well as examining relevant research records and materials. The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will consider whether additional expertise, either internal or external, is appropriate to permit a proper evaluation of the relevant evidence in the inquiry. If internal or external expertise is deemed warranted, individuals with such expertise will only include those without any real or apparent conflicts of interest in the subject matter of the inquiry or any participants involved in the inquiry. The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will formulate a recommendation regarding whether there is sufficient evidence of possible scientific misconduct to warrant further investigation. The scope of an inquiry will not include a determination of whether misconduct occurred or conducting exhaustive interviews and analyses.

VI. The Inquiry Report

A. Elements of the Inquiry Report

A written inquiry report will be prepared by the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer that states the specific allegations, the identity of each expert or consultant who participated in the inquiry; the PHS support, if any; a summary of the inquiry process used; a list of the research records reviewed; summaries of any interviews; a description of the evidence in appropriate detail; and a recommendation as to whether an investigation should be conducted, and whether any other actions should be taken if an investigation is not recommended.

B. Comments on the Draft Report by the Respondent and the Complainant.

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will provide the respondent with a copy of the draft inquiry report for comment, and will provide the complainant, if he or she is identifiable and if deemed appropriate by the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer, with a summary of the inquiry findings for comment.

1. Confidentiality

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will establish reasonable conditions for review to protect the confidentiality of the draft report.

2. Receipt of Comments

The complainant and respondent will provide their comments, if any, to the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer promptly (usually within fourteen (14) calendar days of their receipt of the draft report). Any comments that the complainant or respondent submits regarding the draft report will become part of the final inquiry report and record. Based on any timely received comments, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will revise and finalize the draft report accordingly.

C. Inquiry Decision and Notification

1. Decision by Executive Vice President for Academic Affairs

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will transmit the final report with his or her recommendations to the Executive Vice President for Academic Affairs, who will make a determination of whether findings from the inquiry provide sufficient evidence of possible scientific misconduct to justify conducting an investigation and/or whether other actions are appropriate. The inquiry is completed when the Executive Vice President for Academic Affairs makes this determination.

2. Notification

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will notify both the respondent and the complainant in writing of the decision of the Executive Vice President for Academic Affairs as to whether to proceed to an investigation. The Associate Vice President for Health Research will also notify all appropriate GW officials of the decision.

D. Time Limit for Completing the Inquiry Report

The Associate Vice President for Health Research or Assistant Vice President for

Research Compliance and Technology Transfer should ordinarily complete the inquiry and submit his or her report in writing to the Executive Vice President for Academic Affairs in no more than sixty (60) calendar days following the initiation of the inquiry, unless circumstances warrant a longer period. If an inquiry takes longer than 60 days, the circumstances warranting a longer period will be entered into the records of the case and the inquiry report.

VII. Conducting an Investigation

A. Purpose of an Investigation

The purpose of an investigation is to explore in detail the allegations, to examine the evidence in depth, and to determine specifically whether misconduct has been committed, by whom, and to what extent. The investigation will also determine whether there are additional instances of possible misconduct that would justify broadening the scope beyond the initial allegations. This is particularly important where the alleged misconduct involves clinical trials or potential harm to human subjects or the general public or if it affects research that forms the basis for public policy, clinical practice, or public health practice. The findings of the investigation will be set forth in an investigation report.

B. Sequestration of the Research Records

If there are any additional pertinent research records that were not previously secured during the inquiry, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer should promptly secure such records in a confidential manner. The need for additional sequestration of records may occur for any number of reasons, including GW's decision to investigate additional allegations not considered during the inquiry stage or the identification of records during the inquiry process that had not been previously secured.

C. Appointment of the Investigation Committee

The Associate Vice President for Health Research or the Assistant Vice President for Research Compliance and Technology Transfer, in consultation with other GW officials as appropriate, will appoint an investigation committee and the committee chair following notification to the respondent that an investigation is planned. The investigation committee will consist of at least three individuals who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegations, interview the principals and key witnesses, and conduct the investigation. These individuals may be scientists, administrators, subject matter experts, lawyers, or

other qualified persons, and they may be from inside or outside the institution.

The Associate Vice President for Health Research or the Assistant Vice President for Research Compliance and Technology Transfer will ordinarily notify the respondent of the proposed committee membership within five (5) business days of its appointment. If the respondent submits a written objection to any appointed member of the investigation committee or expert within five (5) business days of receipt of notification of composition of the committee, the Executive Vice President for Academic Affairs will determine whether to replace the challenged member or expert with a qualified substitute within five (5) days of receipt of the written objection.

D. Charge to the Committee and the First Meeting

1. Charge to the Committee

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will define the subject matter of the investigation in a written charge to the committee that describes the allegations and related issues identified during the inquiry, defines scientific misconduct, and identifies the name of the respondent. The charge will state that the committee is to evaluate the evidence and testimony of the respondent, complainant, and key witnesses to determine whether, based on a preponderance of the evidence, scientific misconduct occurred and, if so, to what extent, who was responsible, and its seriousness.

During the investigation, if additional information becomes available that substantially changes the subject matter of the investigation or would suggest additional respondents, the committee will notify the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer, who will determine whether it is necessary to notify the respondent of the new subject matter or to provide notice to additional respondents.

2. The First Meeting

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will convene the first meeting of the investigation committee to review the charge, the inquiry report, and the procedures and standards for the conduct of the investigation, including the necessity for confidentiality and for developing a specific investigation plan. The investigation committee will be provided

with a copy of this policy and, where PHS funding is involved, the PHS regulation.

E. Investigation Process

The investigation committee will ordinarily be appointed and the investigation process initiated within thirty (30) days of the completion of the inquiry by the Executive Vice President for Academic Affairs, if findings from that inquiry provide a sufficient basis for conducting an investigation.

The investigation will normally involve examination of all relevant documentation including, as applicable, but not necessarily limited to, research records, computer files, proposals, manuscripts, publications, correspondence, memoranda, and notes of telephone calls. Whenever possible, the committee will interview the complainant(s), the respondents(s), and other individuals who might have information regarding aspects of the allegations. Interviews of the respondent should ordinarily be tape recorded or transcribed. All other interviews should ordinarily be transcribed, tape recorded, or summarized. For major witnesses, summaries or transcripts of the interviews should be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file.

VIII. The Investigation Report

A. Comments on the Draft Report

1. Respondent

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will provide the respondent with a copy of the draft investigation report for comment. The respondent will be permitted fourteen (14) business days from receipt to review and comment on the draft report. The respondent's comments will be attached to the final report. The findings of the final report will take into account the respondent's comments in addition to all the other evidence.

2. Complainant

The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will provide the complainant, if he or she is identifiable, with those portions of the draft investigation report that address the complainant's role and opinions in the investigation. The report will take into account, as appropriate, the complainant's comments.

3. Confidentiality

In distributing the draft report, or portions thereof, to the respondent and complainant, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will inform the recipient of the confidentiality under which the draft report is made available and may establish reasonable conditions to address such confidentiality. The recipient(s) of the draft report may be requested to sign a confidentiality statement or to comply with other measures to protect the confidentiality of the draft report.

B. Elements of the Investigation Report

The final report, to be submitted to ORI only when PHS funding is involved, will describe the policies and procedures, under which the investigation was conducted, describe how and from whom information relevant to the investigation was obtained, state the findings, and explain the basis for the findings. A finding of scientific misconduct requires that: (1) there be a significant departure from accepted practices of the relevant research community; and (2) the misconduct be committed intentionally, or knowingly, or recklessly; and (3) the allegation be proven by a preponderance of the evidence. The report will include the actual text or an accurate summary of the views of any individual(s) found to have engaged in misconduct as well as recommendations for actions to redress the consequence of the misconduct, if demonstrated, in accordance with the provisions of the **Faculty Code or the Manual of Personnel Policies for the Use of Supervisory Staff** or, in the case of a student, the Guide to Student Rights and Responsibilities.

C. Transmittal of the Final Investigation Report to Executive Vice President for Academic Affairs

After comments have been received and the necessary changes have been made to the draft report, the investigation committee should transmit the final report with attachments, including the respondent's and complainant's comments, to the Executive Vice President for Academic Affairs.

D. GW Review and Decision

The Executive Vice President for Academic Affairs will make the final determination whether to accept the investigation report, its findings, and any recommendations, including any recommendations for actions to redress the consequence of the misconduct in accordance with the **Faculty Code** or the **Manual of Personnel Policies for the Use of Supervisory Staff** or, in the case of a student, the **Guide to Student Rights and Responsibilities**. If this determination varies from that of the investigation committee, the Executive Vice President for Academic Affairs will explain the basis for rendering a decision different from that of the investigation committee in the letter that GW will transmit with the report to ORI in cases of PHS-funded research. The explanation of the Executive Vice President for Academic Affairs will be consistent with the definition of scientific misconduct set forth above, the policies and procedures of GW, and the evidence reviewed and analyzed by the investigation committee. The Executive Vice President for Academic Affairs may also return the report to the investigation committee with a request for further fact-finding or analysis. The determination of the Executive Vice President for Academic Affairs, together with the investigation committee's report, constitutes the final investigation report for purposes of ORI review.

When a final decision on the case has been reached, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will notify both the respondent and the complainant in writing. In addition, the Executive Vice President for Academic Affairs will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case. The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

E. Time Limit for Completing the Investigation Report

An investigation should ordinarily be completed within one hundred and twenty (120) days of the first meeting of the investigation committee.) This includes conducting the investigation, preparing the report of findings, making the draft report available to the subject of the investigation for comment, submitting the report to the Executive Vice President for Academic Affairs for final decision, and submitting the report to the ORI when PHS funding is involved.

IX. Requirements for Reporting to ORI

- A. When PHS funding is involved, GW's decision to initiate an investigation will be reported in writing to the Director of the ORI, on or before the date of the first meeting of the investigation committee. At a minimum, the notification will include the name of the person(s) against whom the allegations have been made, the general nature of the allegation as it relates to the definition of scientific misconduct set forth above, and the PHS applications or grant number(s) involved. ORI will also be notified of the final outcome of the investigation and will be provided with a copy of the investigation report. Any significant variations from the provisions of GW's GW policies and procedures will be explained in any reports submitted to ORI.
- B. If the event that GW plans to terminate an inquiry or investigation for any reason without completing all relevant requirements of the PHS regulation, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will submit a report of the planned termination to ORI, including a description of the reasons for the proposed termination.
- C. In the event that GW determines that it will not be able to complete the investigation relating to PHS-funded research in one hundred and twenty (120) days, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will submit to ORI a written request for an extension that explains the delay, reports on the progress to date, estimates the date of completion of the report, and describes other necessary steps to be taken. If the request is granted, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will file periodic progress reports as requested by the ORI.
- D. When PHS funding or applications for funding are involved and an admission of scientific misconduct is made, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will contact ORI for consultation and advice. Normally, the individual making the admission will be asked to sign a statement attesting to the occurrence and extent of misconduct.
- E. The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will notify ORI at any stage of the inquiry or investigation if:
1. there is an immediate health hazard involved;
 2. there is an immediate need to protect Federal funds or equipment;

3. there is an immediate need that could be addressed by PHS to protect the interests of the person(s) making the allegations or of the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any;
4. it is probable that the alleged incident is going to be reported publicly; or
5. the allegation involves a public health sensitive issue, *e.g.*, a clinical trial; or
6. there is a reasonable indication of possible criminal violation. In this instance, GW will ordinarily inform ORI within 24 hours of obtaining that information.

X. GW Administrative Actions

GW will take appropriate administrative actions against individuals when an allegation of scientific misconduct has been substantiated. If the Executive Vice President for Academic Affairs determines that the alleged misconduct is substantiated by the findings, he or she will decide on the appropriate actions to be taken, after consultation with the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer. The actions may include:

- withdrawal or correction of all pending or published abstracts and papers emanating from the research where scientific misconduct was found.
- removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction or termination of employment;
- restitution of funds as appropriate.

XI. Other Considerations

A. Termination of GW Employment or Affiliation Prior to Completing Inquiry or Investigation

The termination of the respondent's GW employment or affiliation, by resignation or otherwise, before or after an allegation of possible scientific misconduct has been reported, will not preclude or terminate the misconduct procedures.

If the respondent, without admitting to the misconduct, elects to resign his or her

position prior to the initiation of an inquiry, but after an allegation has been reported, or during an inquiry or investigation, the inquiry or investigation will proceed. If the respondent refuses to participate in the process after resignation, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer or the investigation committee, as appropriate, will use its best efforts to reach a conclusion concerning the allegations, noting in its report the respondent's failure to cooperate and its effect on the committee's review of all the evidence.

B. Restoration of the Respondent's Reputation

If GW finds no misconduct, and, after an investigation, ORI concurs, after consulting with the respondent, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will undertake reasonable efforts to address any damages to the respondent's reputation caused directly by GW. Depending on the particular circumstances, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer should consider notifying those individuals aware of or involved in the investigation of the final outcome, publicizing the final outcome in forums in which the allegation of scientific misconduct was previously publicized, or expunging all reference to the scientific misconduct allegation from the respondent's official personnel file. Any GW actions to address the respondent's reputation may be discussed with the Executive Vice President for Academic Affairs.

C. Protection of the Complainant and Others

Regardless of whether GW or ORI determines that scientific misconduct occurred, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will undertake reasonable efforts to protect complainants who made allegations of scientific misconduct in good faith and others who cooperate in good faith with inquiries and investigations of such allegations. Upon completion of an investigation, the Executive Vice President for Academic Affairs will determine, after consulting with the complainant, what steps, if any, appropriate to protect the position or reputation of the complainant. The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will be responsible for coordinating such steps, in consultation with the Executive Vice President for Academic Affairs. The Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will also take appropriate steps during the inquiry and investigation to prevent any known or reasonably suspected retaliation against the complainant.

D. Allegations Not Made in Good Faith

If relevant, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will determine whether the complainant's allegations of scientific misconduct were made in good faith. If an allegation was not made in good faith, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will determine whether any administrative action should be taken against the complainant.

E. Interim Administrative Actions

GW officials will take interim administrative actions, as appropriate, to protect Federal funds and ensure that the purposes of the Federal financial assistance are carried out.

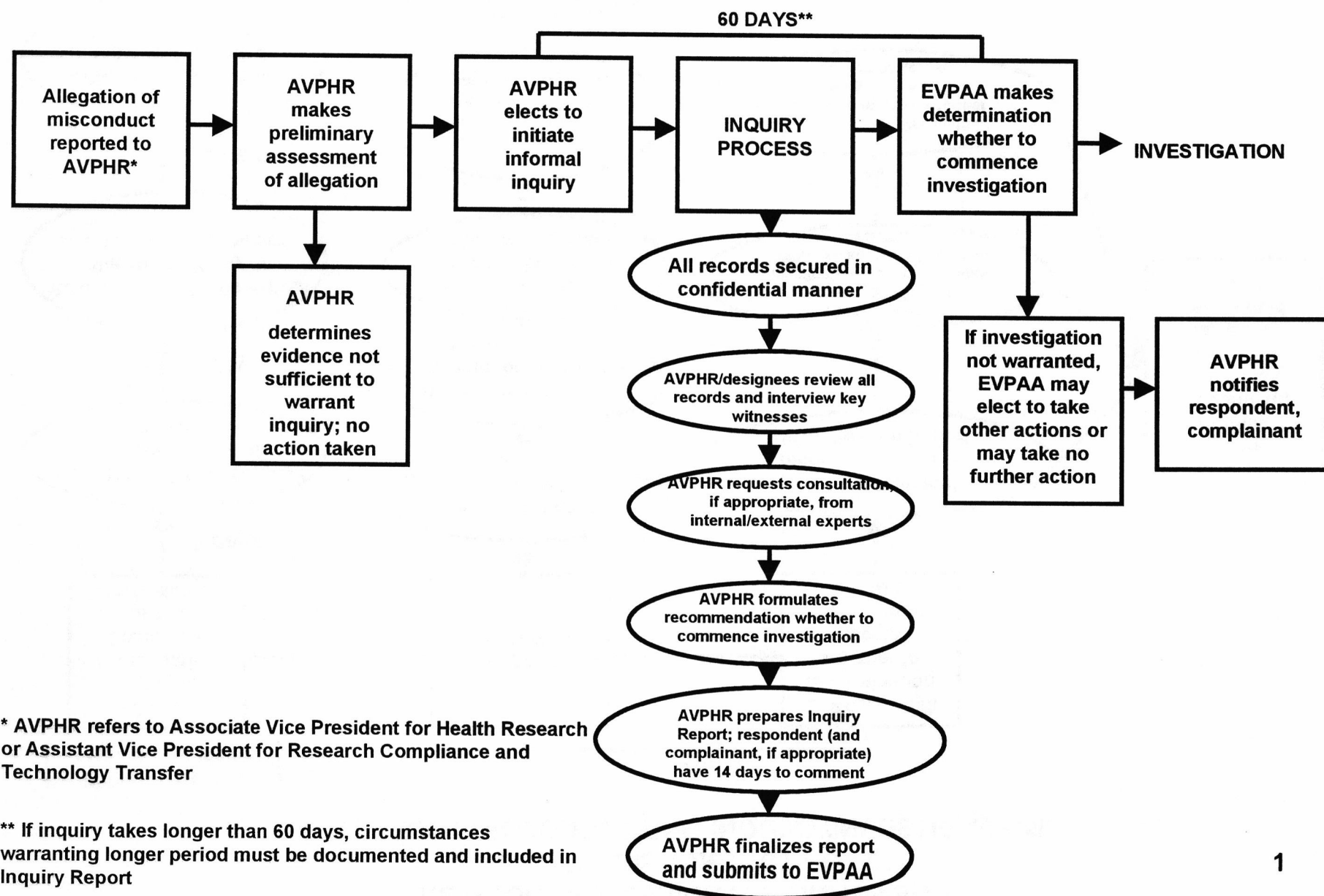
XII. Record Retention

After completion of a case and all ensuing related actions, the Associate Vice President for Health Research or Assistant Vice President for Research Compliance and Technology Transfer will prepare a complete file, including the records of any inquiry or investigation and copies of all documents and other materials furnished to the him or her or the investigation committee. The Associate Vice President for Health Research and Technology or Assistant Vice President for Research Compliance and Technology Transfer will keep the file for three years after completion of the case to permit later assessment of the case. ORI or other authorized DHHS personnel will be given access to the records upon request, for cases related to PHS funding.

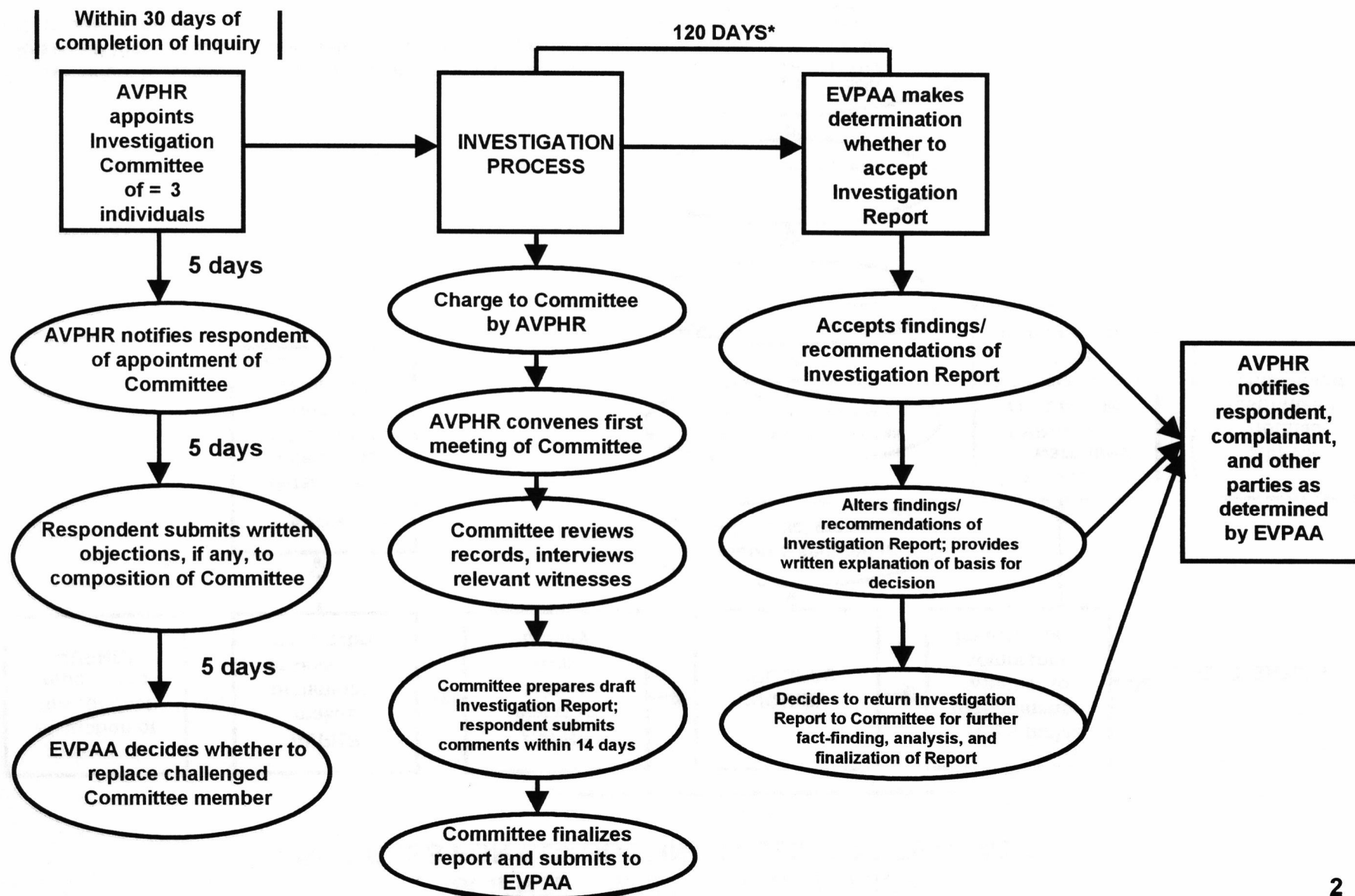
Resources:

- Federal Policy on Scientific misconduct—www.ostp.gov/html/001207_3.htm
- Model Policy for Responding to Allegations of Scientific Misconduct —<http://ori.dhhs.gov>
- PHS Regulations—42 CFR 50.101 et seq.

THE GEORGE WASHINGTON UNIVERSITY SCIENTIFIC MISCONDUCT POLICY (PROCESS FOR CONDUCTING INQUIRY/INVESTIGATION)



THE GEORGE WASHINGTON UNIVERSITY SCIENTIFIC MISCONDUCT POLICY (PROCESS FOR CONDUCTING INQUIRY/INVESTIGATION)



* Extension of time may be requested from Office of Research Integrity

POLICY ON MISCONDUCT IN RESEARCH

The George Washington University
Amended to agree with Faculty Senate Resolution (90/11) Passed February 8, 1991

As a recipient of federal funds, the University is required to file an annual assurance regarding procedures for dealing with and reporting possible misconduct in science. The following statements are reaffirmed by The George Washington University in fulfillment of these requirements. Faculty and staff are urged to bear in mind the importance of compliance with the relevant policies and procedures.

1. The terms "misconduct" or "misconduct in research" mean fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.
2. An allegation of misconduct in research will be referred to the Associate Vice President for Research and Graduate Studies, who will review the allegation and conduct an informal inquiry. An "inquiry" consists of information-gathering and preliminary fact-finding to determine whether an allegation or apparent misconduct warrants an investigation. This inquiry shall include discussion with the complainant and the investigator accused of misconduct. The initial inquiry shall be held confidential, but the Associate Vice President for Research and Graduate Studies shall consult appropriate advisors and/or review committees concerning accepted standards of practice. The privacy of a person who in good faith reports apparent misconduct shall be protected. An inquiry into allegation of misconduct in research shall be completed within 60 calendar days of its initiation unless circumstances clearly warrant a longer period. A written report shall be prepared that states what evidence was reviewed, summarizes relevant interviews, and includes the conclusions of the inquiry. The individual(s) against whom the allegation was made shall be given a copy of the report of inquiry. If they comment on that report, their comments may be made part of the record. To the maximum extent possible the affected individual(s) will be afforded confidential treatment, a prompt and thorough investigation, and an opportunity to comment on allegations and findings of the inquiry and/or the investigation.
3. When, on the basis of the initial inquiry, a determination is made that an investigation is warranted, and to the extent required by federal law and regulation, the Associate Vice President for Research and Graduate Studies shall notify the Director, Office of Scientific Integrity (OSI), a component of the Office of the Director of the National Institutes of Health, and such other parties as may be required by the funding agency. In addition, when PHS funding is involved, the Associate Vice President for Research and Graduate Studies is responsible for notifying OSI at any stage of the inquiry or investigation if any of the following conditions exist:
 - a. There is an immediate health hazard involved;
 - b. There is an immediate need to protect federal funds or equipment;
 - c. There is an immediate need to protect the interests of the person(s) making the allegations or other individual(s) who is the subject of the allegations as well as his/her co-investigators, if any;
 - d. It is probable that the alleged incident is going to be reported publicly;
 - e. There is a reasonable indication of possible criminal violation. In that instance, the Associate Vice President for Research and Graduate Studies must inform OSI within 24 hours of obtaining that information, and OSI will immediately notify the Office of the Inspector General.
4. In the event the initial inquiry does not support an allegation of misconduct, the Associate Vice President for Research and Graduate Studies will counsel the complainant and the investigator concerned, and the issue will be closed. The finding(s) and the reason(s) not to request formal investigation shall be documented. Such records shall be maintained in a secure manner for a period of at least three years after the termination of the inquiry.
5. If the initial inquiry warrants a formal investigation, the Associate Vice President for Research and Graduate Studies will inform the Vice President for Academic Affairs of the complaint and request formal investigation. The investigation will commence within 30 days of the completion of the inquiry. An "investigation" is a formal examination and evaluation of relevant facts to determine whether misconduct has taken place and to assess its extent and consequences to determine appropriate action. If federal funding is involved, the Associate Vice President for Research and Graduate Studies shall notify OSI, and shall keep the OSI apprised of any developments during the course of the investigation as required.
6. The Vice President for Academic Affairs will immediately appoint an ad hoc committee including members with appropriate expertise to conduct the investigation or refer the matter to an existing committee with established procedures for responding to misconduct in science concerning the use of humans or animals and will ensure that requirements of the sponsor for notification and reporting are addressed. In appointing such committee, the Vice President for Academic Affairs will take appropriate precautions against real or apparent conflicts of interest on the part of those involved in the inquiry or investigation.
7. The committee will act expeditiously to investigate the alleged misconduct, with appropriate consideration given to providing adequate opportunity for the investigator accused of misconduct to develop a full response to the allegation. The committee may solicit the advice of appropriate intramural and external consultants. During the course of the investigation, the researcher accused of misconduct may be advised, but not represented by legal counsel.
8. At the conclusion of the investigation, the committee will prepare a report for submission to the Vice President for Academic Affairs. The report should ordinarily be issued within 120 days of the initiation of the investigation. This includes conducting the investigation, preparing the report and the findings, making the report available for comment by the subjects of the investigation, and submitting the report to the OSI, if required. The report will address the circumstances of the complaint, the findings of the investigation and make recommendations for actions to redress the consequence of the misconduct, if demonstrated, on accordance with provisions of the **Faculty Code** or the **Manual of Personnel Policies for the Use of Supervisory Staff**. A copy of the report will be provided to the investigator accused of misconduct and to OSI if federal funding is involved. If they can be identified, the person(s) who raised the allegation will be provided with those portions of the report that address their role and opinions in the investigation. The documentation prepared to substantiate the investigation's findings will be maintained in a secure location for a period of at least three years after the terminations of the investigation, or longer if required by law or regulation.
9. Further, the University will impose the appropriate sanctions on individuals when the allegation of misconduct has been substantiated.
10. Appropriate interim actions will be taken to protect federal funds and insure that the purposes of the federal financial assistance are carried out.

11. Where the investigator accused of misconduct is a registered student, and the alleged misconduct is associated with work contributing to the formal academic program of the student, the issue will also be addressed in accordance with University policies relating to academic dishonesty and student conduct.
 12. The University will undertake diligent efforts, as appropriate, to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed, and also undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.
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Last update: September 26, 2001

UPDATE ON THE SCHOOL OF PUBLIC POLICY ob *

Vice President Lehman reported that the School of Public Policy and Public Administration was formed when the Department of Public Administration, formerly located in the School of Business and Public Management, was transferred to the Columbian College of Arts & Sciences. This School within CCAS, which offers the Master's in Public Policy degree, was created at about the same time as the GW Institute for Public Policy (GWIPP). The enrollments in this program have increased significantly, and in Fall, 2003, 44 additional students, for a total of 237 were enrolled. Similarly, there are over 200 applications for the Master's in Public Administration (MPA) program, and there are over 250 applications for the Master's in Public Policy (MPP) program. The School has also combined what were formerly two Ph.D. programs, these being the doctoral degree in Public Administration (SB) and the Public Policy degree (CCAS), and the program has now become the Ph.D. in Public Policy and Administration. The program, like others in the School, is attracting a very strong applicant pool [as measured by GPA's and GRE scores], and a good number of these applicants are graduates of outstanding undergraduate and graduate institutions. Over 120 individuals have applied for the new Ph.D. program. Formation of this new School has made it possible for increased faculty collaboration, and faculty are now in the process of creating bylaws for the School.

The new School houses a Center for Public Service, one of whose functions is to produce research in areas related to Public Policy and Public Administration. The Center's first research report has been issued, with another expected in May. It has also supported three students, and has actually hired ten of the graduate or other current students during the past year. The partnership through this Center, which is supported externally, is a very positive addition to the School.

Another entity brought under the umbrella of the School is the GWIPP, directed by Professor Hal Wolman. Whereas GWIPP was formerly responsible for the Master's in Public Policy program, it no longer has that responsibility, but instead functions solely as a research institute. Its primary mission is to encourage and aid faculty throughout the University to seek and successfully obtain external funding for public policy research at GW. The Institute reports to Academic Affairs through the Office of Associate Vice President Sigelman. The Institute also offers programs, one of which is the Policy Research Scholar program, whose scholars are selected through a university-wide competition that is open to all full-time tenure-track faculty. Thus far, these appointments have been made from a number of University departments and Schools, reflecting the university-wide scope of the Center. In terms of external funding, GWIPP has submitted some \$4.4 million in proposals, and has received \$1.8 million in funding, with \$1.5 million currently pending. Of this, the Policy Research Scholars have submitted \$2.3 million in proposals, receiving \$513,000, with \$984,000 pending.

Vice President Lehman concluded his remarks by saying that he thought that the School was off to a very good start, thanks in large part to the efforts of Professor Newcomer (the director), and Professors Cordes and Wolman. Professor Cordes noted that while GWIPP now serves a research function, this function is really very closely connected to the School's programs, and a lot of the students, nearly all working with GWIPP, are either Masters or Doctoral students in the programs. The integration of the research and academic aspects of the School is a real plus, he added.

Professor Griffith said he thought that overall there have been positive developments with respect to the various Public Policy programs, but he saw a longstanding problem now worsening. The Philosophy Department offers its sole graduate program in philosophy through a Masters in Philosophy/Social Policy. As one who teaches in this program, Professor Griffith said he is increasingly struck by the numbers of new students coming to these programs, and unfortunately, library resources are simply not as available as they should be. While he said he has arranged for students to use the Burns (Law) Library, the University needs to think hard about trying to provide more library resources for the increasing numbers of quite able students who are being recruited. University Librarian Jack Siggins commented that the latest budget allocation seems to indicate that funds will be applied directly to the Public Policy programs, in response to the need cited by Professor Griffith, which he acknowledged.

GENERAL BUSINESS

I. NOMINATION FOR ELECTION TO THE NOMINATING COMMITTEE

Professor Lilien Robinson moved the nominations of the following faculty members to serve on the Nominating Committee for the 2004-05 Faculty Senate Executive Committee: Professor Gary L. Simon (SMHS), Convener; Professors Mary M. Cheh (GWLS), Kurt J. Darr (SPHHS), Salvatore F. Divita (SB), Robert J. Harrington (SEAS), Sylvia A. Marotta (GSEHD), Joseph Pelzman (ESIA), and Lilien F. Robinson (CCAS). The entire slate was approved.

II. REPORT OF THE EXECUTIVE COMMITTEE

Professor Robinson presented the Report of the Executive Committee, which is enclosed.

BRIEF STATEMENTS (AND QUESTIONS)

Professor Griffith announced that the Fiscal Planning and Budgeting Committee, which he chairs, has been working hard to assemble its Report on the FY '04 budgets, which will include an explanation of the fixed tuition plan along with the usual discussion of revenue, debt, and debt to endowment ratios, and so forth. He added that he hoped that this Report would be finished in time for it to be circulated with the call for the April Senate meeting, and he urged faculty to review it before the meeting if they could.

Professor Cordes asked Vice President Lehman when the expected Report on Doctoral Programs would be available. Vice President Lehman responded that it would probably be released in late April or early May, as all of the required meetings with the individual Deans could not be scheduled so as to produce the Report in March, as expected.

Professor Griffith asked if the Senate would see the Report on the Strategic Plan for the University Honors Program. Vice President Lehman responded that interviews with many students, faculty, and department chairs have already been conducted, and this Report is also well on its way to completion.